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Form 990

Return of Organization Exempt From Income Tax

OMB No 1545-0047

2017

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)  
Do not enter social security numbers on this form as it may be made public  
Information about Form 990 and its instructions is at [www.irs.gov/form990](#)

A For the 2017 calendar year, or tax year beginning 09-01-2017 , and ending 08-31-2018

B Check if applicable  
☐ Address change  
☐ Name change  
☐ Initial return  
☐ Final return/terminated  
☐ Amended return  
☐ Application pending

C Name of organization  
Northwestern University

Doing business as

Number and street (or P O box if mail is not delivered to street address)Room/suite  
633 Clark St

City or town, state or province, country, and ZIP or foreign postal code  
Evanston, IL 60208

F Name and address of principal officer  
Craig Johnson  
633 Clark St  
Evanston, IL 60208

H(a) Is this a group return for subordinates?  
☐ Yes ☒ No  
H(b) Are all subordinates included?  
☐ Yes ☐ No  
If "No," attach a list (see instructions)  
H(c) Group exemption number ▶

D Employer identification number  
36-2167817

E Telephone number  
(847) 491-3741

G Gross receipts \$ 4,640,511,397

I Tax-exempt status  
☒ 501(c)(3) ☐ 501(c) ( ) ◀(insert no ) ☐ 4947(a)(1) or ☐ 527

J Website: ▶ www.northwestern.edu

K Form of organization  
☒ Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation 1851

M State of legal domicile IL

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities  
Education and research

2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets

3	Number of voting members of the governing body (Part VI, line 1a)	36
4	Number of independent voting members of the governing body (Part VI, line 1b)	34
5	Total number of individuals employed in calendar year 2017 (Part V, line 2a)	25,684
6	Total number of volunteers (estimate if necessary)	151
7a	Total unrelated business revenue from Part VIII, column (C), line 12	-16,001,127
7b	Net unrelated business taxable income from Form 990-T, line 34	-19,623,733

Revenue

	Prior Year	Current Year
8	Contributions and grants (Part VIII, line 1h)	395,669,600
9	Program service revenue (Part VIII, line 2g)	1,874,935,178
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d )	647,482,893
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	37,063,687
12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	2,955,151,358

Expenses

13	Grants and similar amounts paid (Part IX, column (A), lines 1–3 )	498,938,464	528,829,620
14	Benefits paid to or for members (Part IX, column (A), line 4)		0
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	1,344,111,489	1,420,530,610
16a	Professional fundraising fees (Part IX, column (A), line 11e)	698,550	424,469
b	Total fundraising expenses (Part IX, column (D), line 25) ▶62,824,192		
17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	922,911,404	1,007,862,169
18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	2,766,659,907	2,957,646,868
19	Revenue less expenses Subtract line 18 from line 12	188,491,451	186,140,877

Net Assets or Fund Balances

	Beginning of Current Year	End of Year
20	Total assets (Part X, line 16)	14,485,530,707
21	Total liabilities (Part X, line 26)	2,804,562,684
22	Net assets or fund balances Subtract line 21 from line 20	11,680,968,023

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge

Sign Here

Signature of officer

Craig Johnson Senior VP, Business and Finance

Type or print name and title

2019-07-11

Date

Paid Preparer Use Only

Print/Type preparer's name  
Marilyn E Farley

Preparer's signature  
Marilyn E Farley

Date

Check ☐ if self-employed

PTIN  
P01231880

Firm's name ▶ KPMG LLP

Firm's EIN ▶ 13-5565207

Firm's address ▶ 515 Broadway  
Albany, NY 12207

Phone no (518) 427-4600

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat No 11282Y

Form 990 (2017)

**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III ☐**1** Briefly describe the organization's mission

Northwestern's mission is to provide the highest-quality education for its students, to develop innovative programs in research, and to sustain an academic community that embraces these enterprises

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?☐ Yes ☒ No

If "Yes," describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services?☐ Yes ☒ No

If "Yes," describe these changes on Schedule O

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

**4a** (Code ) (Expenses \$ 2,035,524,999 including grants of \$ 419,653,230 ) (Revenue \$ 1,307,266,687 )  
See Additional Data

**4b** (Code ) (Expenses \$ 486,912,000 including grants of \$ 109,176,390 ) (Revenue \$ 613,843,760 )  
See Additional Data

**4c** (Code ) (Expenses \$ 136,913,000 including grants of \$ ) (Revenue \$ 83,906,819 )  
See Additional Data

**4d** Other program services (Describe in Schedule O )

(Expenses \$ including grants of \$ ) (Revenue \$ )

**4e** Total program service expenses ▶ 2,659,349,999

**Part IV Checklist of Required Schedules**

	Yes	No
<b>1</b> Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	<b>1</b> Yes	
<b>2</b> Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)?	<b>2</b> Yes	
<b>3</b> Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I	<b>3</b>	No
<b>4 Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II	<b>4</b> Yes	
<b>5</b> Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III	<b>5</b>	
<b>6</b> Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I	<b>6</b> Yes	
<b>7</b> Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II	<b>7</b>	No
<b>8</b> Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III	<b>8</b>	No
<b>9</b> Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV	<b>9</b>	No
<b>10</b> Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V	<b>10</b> Yes	
<b>11</b> If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
<b>a</b> Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	<b>11a</b> Yes	
<b>b</b> Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII	<b>11b</b> Yes	
<b>c</b> Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII	<b>11c</b>	No
<b>d</b> Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX	<b>11d</b>	No
<b>e</b> Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X	<b>11e</b> Yes	
<b>f</b> Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X	<b>11f</b> Yes	
<b>12a</b> Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII	<b>12a</b>	No
<b>b</b> Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional	<b>12b</b> Yes	
<b>13</b> Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	<b>13</b> Yes	
<b>14a</b> Did the organization maintain an office, employees, or agents outside of the United States?	<b>14a</b> Yes	
<b>b</b> Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV	<b>14b</b> Yes	
<b>15</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV	<b>15</b> Yes	
<b>16</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV	<b>16</b> Yes	
<b>17</b> Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions)	<b>17</b> Yes	
<b>18</b> Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	<b>18</b> Yes	
<b>19</b> Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	<b>19</b>	No

**Part IV Checklist of Required Schedules** (continued)

	Yes	No
<b>20a</b> Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H . . . . .</i>		No
<b>b</b> If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II . . . . .</i>	Yes	
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III . . . . .</i>	Yes	
<b>23</b> Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J . . . . .</i>	Yes	
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a . . . . .</i>	Yes	
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .		No
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .		No
<b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . . .		No
<b>25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I . . . . .</i>		No
<b>b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I . . . . .</i>		No
<b>26</b> Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II . . . . .</i>	Yes	
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III . . . . .</i>	Yes	
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)		
<b>a</b> A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>		No
<b>b</b> A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>	Yes	
<b>c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>	Yes	
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M . . . . .</i>	Yes	
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M . . . . .</i>	Yes	
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I . . . . .</i>		No
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II . . . . .</i>		No
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I . . . . .</i>	Yes	
<b>34</b> Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1 . . . . .</i>	Yes	
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)?	Yes	
<b>b</b> If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2 . . . . .</i>	Yes	
<b>36 Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2 . . . . .</i>		No
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI . . . . .</i>		No
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .	Yes	

**Part V Statements Regarding Other IRS Filings and Tax Compliance**Check if Schedule O contains a response or note to any line in this Part V ☐

		Yes	No
<b>1a</b>	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . . . . .	23,912	
<b>b</b>	Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable . . . . .	0	
<b>c</b>	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .	Yes	
<b>2a</b>	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . . . .	25,684	
<b>b</b>	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? <b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	Yes	
<b>3a</b>	Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . . .	Yes	
<b>b</b>	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O . . . . .	Yes	
<b>4a</b>	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . . . .	Yes	
<b>b</b>	If "Yes," enter the name of the foreign country <b>▶QA, UK</b> See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)		
<b>5a</b>	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .		No
<b>b</b>	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? . . . . .		No
<b>c</b>	If "Yes," to line 5a or 5b, did the organization file Form 8886-T? . . . . .		
<b>6a</b>	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . . . .		No
<b>b</b>	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .		
<b>7</b>	<b>Organizations that may receive deductible contributions under section 170(c).</b>		
<b>a</b>	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .	Yes	
<b>b</b>	If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .	Yes	
<b>c</b>	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .	Yes	
<b>d</b>	If "Yes," indicate the number of Forms 8282 filed during the year . . . . .		
<b>e</b>	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .		No
<b>f</b>	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .		No
<b>g</b>	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . .		
<b>h</b>	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . .		
<b>8</b>	<b>Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? . . . . .		No
<b>9a</b>	Did the sponsoring organization make any taxable distributions under section 4966? . . . . .		No
<b>b</b>	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . . . .		No
<b>10</b>	<b>Section 501(c)(7) organizations.</b> Enter		
<b>a</b>	Initiation fees and capital contributions included on Part VIII, line 12 . . . . .		
<b>b</b>	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .		
<b>11</b>	<b>Section 501(c)(12) organizations.</b> Enter		
<b>a</b>	Gross income from members or shareholders . . . . .		
<b>b</b>	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them ) . . . . .		
<b>12a</b>	<b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041? . . . . .		
<b>b</b>	If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . . . .		
<b>13</b>	<b>Section 501(c)(29) qualified nonprofit health insurance issuers.</b>		
<b>a</b>	Is the organization licensed to issue qualified health plans in more than one state? <b>Note.</b> See the instructions for additional information the organization must report on Schedule O . . . . .		
<b>b</b>	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . .		
<b>c</b>	Enter the amount of reserves on hand . . . . .		
<b>14a</b>	Did the organization receive any payments for indoor tanning services during the tax year? . . . . .		No
<b>b</b>	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .		

**Part VI Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI ☒

**Section A. Governing Body and Management**

		Yes	No
<b>1a</b>	Enter the number of voting members of the governing body at the end of the tax year		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O		
<b>1b</b>	Enter the number of voting members included in line 1a, above, who are independent		
<b>2</b>	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	Yes	
<b>3</b>	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?		No
<b>4</b>	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		No
<b>5</b>	Did the organization become aware during the year of a significant diversion of the organization's assets?		No
<b>6</b>	Did the organization have members or stockholders?		No
<b>7a</b>	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?		No
<b>7b</b>	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		No
<b>8</b>	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
<b>a</b>	The governing body?	Yes	
<b>b</b>	Each committee with authority to act on behalf of the governing body?	Yes	
<b>9</b>	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.		No

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

		Yes	No
<b>10a</b>	Did the organization have local chapters, branches, or affiliates?		No
<b>10b</b>	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?		
<b>11a</b>	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	Yes	
<b>11b</b>	Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
<b>12a</b>	Did the organization have a written conflict of interest policy? If "No," go to line 13.	Yes	
<b>12b</b>	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	Yes	
<b>12c</b>	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done.	Yes	
<b>13</b>	Did the organization have a written whistleblower policy?	Yes	
<b>14</b>	Did the organization have a written document retention and destruction policy?	Yes	
<b>15</b>	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>15a</b>	The organization's CEO, Executive Director, or top management official	Yes	
<b>15b</b>	Other officers or key employees of the organization	Yes	
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
<b>16a</b>	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	Yes	
<b>16b</b>	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		No

**Section C. Disclosure**

**17** List the States with which a copy of this Form 990 is required to be filed: CA, CO, MD, MA, MI, NH, OH, OR, SC

**18** Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.  
☐ Own website ☐ Another's website ☒ Upon request ☐ Other (explain in Schedule O)

**19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

**20** State the name, address, and telephone number of the person who possesses the organization's books and records.  
 ► Nicole Van Laan Controller 619 Clark St Evanston, IL 60208 (847) 491-4722

Check if Schedule O contains a response or note to any line in this Part VII ☐

**1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees, if any See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

[illegible]

[illegible]

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization ▶ 2,660

Section B. Independent Contractors

(A) Name and business address	(B) Description of services	(C) Compensation
The Family Institute 618 Library Pl Evanston, IL 60201	Instruction services	12,517,834
Jenner & Block LLP 353 North Clark Street Chicago, IL 60654	Legal services	5,736,987
NORTHWESTERN MEMORIAL HOSPITAL 251 EAST HURON CHICAGO, IL 60611	Clinical services	4,356,499
Realterm Global LLC 201 West Street Annapolis, MD 21401	Investment management	3,938,977
Huron Consulting Group LLC 550 W Van Buren Street Chicago, IL 60607	Consulting services	3,556,034

Form 990 (2017)

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☒

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1a</b> Federated campaigns . . .	<b>1a</b>					
	<b>b</b> Membership dues . . .	<b>1b</b>					
	<b>c</b> Fundraising events . . .	<b>1c</b>	2,730,314				
	<b>d</b> Related organizations	<b>1d</b>					
	<b>e</b> Government grants (contributions)	<b>1e</b>	34,165,247				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b>	336,828,684				
	<b>g</b> Noncash contributions included in lines 1a-1f \$	70,480,723					
	<b>h Total.</b> Add lines 1a-1f . . . . .	373,724,245					
<b>Program Service Revenue</b>			Business Code				
	<b>2a</b> Tuition and fees		611310	1,071,401,610	1,071,401,610		
	<b>b</b> Research activities		611310	613,843,760	613,843,760		
	<b>c</b> Educational activities		611310	185,464,515	185,464,515		
	<b>d</b> Auxiliary enterprises		611310	83,906,819	83,906,819		
	<b>e</b> Medical activities		611310	38,448,347	38,448,347		
	<b>f</b> All other program service revenue			7,999,936	7,999,936	0	
	<b>g Total.</b> Add lines 2a-2f . . . . .	2,001,064,987					
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest, and other similar amounts) . . . . .			83,016,433	3,952,279	2,095,329	76,968,825
	<b>4</b> Income from investment of tax-exempt bond proceeds						
	<b>5</b> Royalties . . . . .			10,500,372		907,101	9,593,271
	<b>6a</b> Gross rents	(i) Real	(ii) Personal				
		3,763,062					
	<b>b</b> Less rental expenses	951,878					
	<b>c</b> Rental income or (loss)	2,811,184	0				
	<b>d</b> Net rental income or (loss) . . . . .			2,811,184			2,811,184
	<b>7a</b> Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other				
		1,473,401,131	713,254,826				
	<b>b</b> Less cost or other basis and sales expenses	822,080,082	673,052,621				
	<b>c</b> Gain or (loss)	651,321,049	40,202,205				
	<b>d</b> Net gain or (loss) . . . . .			691,523,254			691,523,254
	<b>8a</b> Gross income from fundraising events (not including \$ 2,730,314 of contributions reported on line 1c) See Part IV, line 18 . . . . .	<b>a</b>	789,898				
	<b>b</b> Less direct expenses . . . . .	<b>b</b>	639,071				
	<b>c</b> Net income or (loss) from fundraising events . . . . .			150,827			150,827
<b>9a</b> Gross income from gaming activities See Part IV, line 19 . . . . .	<b>a</b>						
<b>b</b> Less direct expenses . . . . .	<b>b</b>						
<b>c</b> Net income or (loss) from gaming activities . . . . .							
<b>10a</b> Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>						
<b>b</b> Less cost of goods sold . . . . .	<b>b</b>						
<b>c</b> Net income or (loss) from sales of inventory . . . . .							
Miscellaneous Revenue		Business Code					
<b>11a</b> Investment in LPs		523920	-25,102,567		-25,102,567		
<b>b</b> Parking facilities		812930	4,927,268		4,927,268		
<b>c</b> Scientific services/rental		541990	924,601		924,601		
<b>d</b> All other revenue . . . . .			247,141	0	247,141	0	
<b>e Total.</b> Add lines 11a-11d . . . . .			-19,003,557				
<b>12 Total revenue.</b> See Instructions . . . . .			3,143,787,745	2,005,017,266	-16,001,127	781,047,361	

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐**Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.**

	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
<b>1</b> Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21.	75,011,143	75,011,143		
<b>2</b> Grants and other assistance to domestic individuals. See Part IV, line 22.	448,999,442	448,999,442		
<b>3</b> Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, line 15 and 16.	4,819,035	4,819,035		
<b>4</b> Benefits paid to or for members.				
<b>5</b> Compensation of current officers, directors, trustees, and key employees.	21,252,276	5,395,932	14,716,665	1,139,679
<b>6</b> Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B).	176,441		176,441	
<b>7</b> Other salaries and wages.	1,126,781,559	1,053,180,309	38,740,585	34,860,665
<b>8</b> Pension plan accruals and contributions (include section 401 (k) and 403(b) employer contributions).	81,951,082	75,701,241	3,447,113	2,802,728
<b>9</b> Other employee benefits.	121,503,192	112,128,430	5,170,669	4,204,093
<b>10</b> Payroll taxes.	68,866,060	63,657,859	2,872,594	2,335,607
<b>11</b> Fees for services (non-employees):				
<b>a</b> Management.				
<b>b</b> Legal.	14,331,559		14,331,559	
<b>c</b> Accounting.	1,453,718		1,453,718	
<b>d</b> Lobbying.	505,262		505,262	
<b>e</b> Professional fundraising services. See Part IV, line 17.	424,469			424,469
<b>f</b> Investment management fees.	50,682,840		50,682,840	
<b>g</b> Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O).	212,818,349	202,487,854	9,099,873	1,230,622
<b>12</b> Advertising and promotion.	26,368,768	17,363,109	2,112,669	6,892,990
<b>13</b> Office expenses.	165,732,310	159,172,372	3,151,695	3,408,243
<b>14</b> Information technology.	44,270,427	42,323,930	1,077,496	869,001
<b>15</b> Royalties.	7,246,544	7,241,101	5,443	
<b>16</b> Occupancy.	140,803,700	136,317,647	3,801,198	684,855
<b>17</b> Travel.	53,440,003	51,191,965	678,170	1,569,868
<b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials.				
<b>19</b> Conferences, conventions, and meetings.	37,144,330	35,493,073	999,673	651,584
<b>20</b> Interest.	68,648,085		68,648,085	
<b>21</b> Payments to affiliates.				
<b>22</b> Depreciation, depletion, and amortization.	150,731,967	140,797,588	8,718,544	1,215,835
<b>23</b> Insurance.				
<b>24</b> Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b> All other expenses.	33,684,307	28,067,969	5,082,385	533,953
<b>25</b> Total functional expenses. Add lines 1 through 24e.	2,957,646,868	2,659,349,999	235,472,677	62,824,192
<b>26</b> Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part IX ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .		<b>1</b>	
	<b>2</b> Savings and temporary cash investments . . . . .	299,641,547	<b>2</b>	269,243,813
	<b>3</b> Pledges and grants receivable, net . . . . .	318,780,000	<b>3</b>	311,458,000
	<b>4</b> Accounts receivable, net . . . . .	263,424,491	<b>4</b>	273,953,767
	<b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .	686,667	<b>5</b>	493,333
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . .	0	<b>6</b>	0
	<b>7</b> Notes and loans receivable, net . . . . .	150,992,629	<b>7</b>	151,173,126
	<b>8</b> Inventories for sale or use . . . . .	2,707,272	<b>8</b>	2,658,715
	<b>9</b> Prepaid expenses and deferred charges . . . . .	15,092,926	<b>9</b>	9,382,570
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	5,073,611,914		
	<b>b</b> Less: accumulated depreciation	1,815,577,289	<b>10c</b>	3,258,034,625
	<b>11</b> Investments—publicly traded securities . . . . .	1,970,556,838	<b>11</b>	1,859,646,588
	<b>12</b> Investments—other securities. See Part IV, line 11 . . . . .	8,529,796,793	<b>12</b>	9,333,297,024
	<b>13</b> Investments—program-related. See Part IV, line 11 . . . . .	0	<b>13</b>	
	<b>14</b> Intangible assets . . . . .		<b>14</b>	
	<b>15</b> Other assets. See Part IV, line 11 . . . . .	172,627	<b>15</b>	10,184
<b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	14,485,530,707	<b>16</b>	15,469,351,745	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .	364,108,195	<b>17</b>	191,220,386
	<b>18</b> Grants payable . . . . .		<b>18</b>	
	<b>19</b> Deferred revenue . . . . .	277,852,598	<b>19</b>	302,708,944
	<b>20</b> Tax-exempt bond liabilities . . . . .	403,323,182	<b>20</b>	399,636,291
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		<b>21</b>	
	<b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .	0	<b>22</b>	0
	<b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .	175,669,948	<b>23</b>	283,197,471
	<b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .		<b>24</b>	
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D . . . . .	1,583,608,761	<b>25</b>	2,050,818,753
	<b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 . . . . .	2,804,562,684	<b>26</b>	3,227,581,845
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>			
	<b>27</b> Unrestricted net assets . . . . .	7,336,442,023	<b>27</b>	7,652,598,900
	<b>28</b> Temporarily restricted net assets . . . . .	2,720,408,000	<b>28</b>	2,887,890,000
	<b>29</b> Permanently restricted net assets . . . . .	1,624,118,000	<b>29</b>	1,701,281,000
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.</b>			
	<b>30</b> Capital stock or trust principal, or current funds . . . . .		<b>30</b>	
	<b>31</b> Paid-in or capital surplus, or land, building or equipment fund . . . . .		<b>31</b>	
	<b>32</b> Retained earnings, endowment, accumulated income, or other funds . . . . .		<b>32</b>	
	<b>33</b> Total net assets or fund balances . . . . .	11,680,968,023	<b>33</b>	12,241,769,900
	<b>34</b> Total liabilities and net assets/fund balances . . . . .	14,485,530,707	<b>34</b>	15,469,351,745

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI ☒

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	3,143,787,745
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	2,957,646,868
<b>3</b>	Revenue less expenses Subtract line 2 from line 1	<b>3</b>	186,140,877
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	<b>4</b>	11,680,968,023
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	368,628,000
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain in Schedule O)	<b>9</b>	6,033,000
<b>10</b>	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	<b>10</b>	12,241,769,900

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

	Yes	No
<b>1</b> Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O		
<b>2a</b> Were the organization's financial statements compiled or reviewed by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		No
<b>b</b> Were the organization's financial statements audited by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	Yes	
<b>c</b> If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O	Yes	
<b>3a</b> As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	Yes	
<b>b</b> If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits	Yes	

# Additional Data

**Software ID:** 17005876  
**Software Version:** 2017v2.2  
**EIN:** 36-2167817  
**Name:** Northwestern University

Form 990 (2017)

**Form 990, Part III, Line 4a:**

EDUCATION OF STUDENTS FOR THE 2018 ACADEMIC YEAR, 8,159 UNDERGRADUATES AND 9,588 GRADUATES AND PROFESSIONAL SCHOOL STUDENTS ENROLLED FULL-TIME AT THE UNIVERSITY THE EXEMPT PURPOSE OF NORTHWESTERN UNIVERSITY IS TO PROVIDE EDUCATIONAL SERVICES TO ITS STUDENTS THIS INCLUDES SUPERIOR UNDERGRADUATE EDUCATION FOR A DIVERSE STUDENT BODY IN A COMPREHENSIVE RANGE OF ACADEMIC AND PROFESSIONAL FIELDS AT THE GRADUATE LEVEL, NORTHWESTERN'S ROLE ENCOMPASSES OFFERINGS IN THE MAJOR ACADEMIC AND PROFESSIONAL FIELDS, CLOSELY RELATED TO RESEARCH, CREATIVE ACTIVITIES, AND CLINICAL SERVICES

**Form 990, Part III, Line 4b:**

RESEARCH ACTIVITIES THE RESEARCH PROGRAM AT NORTHWESTERN UNIVERSITY IS A MAJOR COMPONENT OF UNIVERSITY EFFORTS, ASSURING INSTITUTIONAL LEADERSHIP IN SCIENTIFIC DISCOVERY, INTELLECTUAL INQUIRY, AND CREATIVE PERFORMANCE THE CHARACTER OF THIS RESEARCH SHAPES ALL AREAS OF UNIVERSITY ENDEAVOR, ESPECIALLY GRADUATE EDUCATION AS WELL AS UNDERGRADUATE STUDIES

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**Form 990, Part III, Line 4c:**

AUXILIARY ENTERPRISES SERVE THE EDUCATIONAL MISSION BY PRIMARILY PROVIDING RESIDENCES AND FOOD SERVICES, AND OTHER VARIOUS GOODS AND SERVICES  
TO SUPPORT UNIVERSITY STUDENT, FACULTY, AND STAFF ACTIVITIES

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Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Insttutcnal Trustee	Officer	Key employee	Highest compensated employee	Former			
Peter J Barris	10									
Trustee	.....	X						0	0	0
Carol L Bernick	10									
Trustee	.....	X						0	0	0
Christine E Brennan	10									
Trustee	.....	X						0	0	0
A Steven Crown	10									
Trustee	.....	X						0	0	0
Deborah L DeHaas	10									
Trustee	.....	X						0	0	0
Charles W Douglas	10									
Trustee	.....	X						0	0	0
D Cameron Findlay	10									
Trustee	.....	X						0	0	0
Dennis J FitzSimons	10									
Trustee	.....	X						0	0	0
T Bondurant French	10									
Trustee	.....	X						0	0	0
Christopher B Galvin	10									
Trustee	.....	X						0	0	0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Insttutcnal Trustee	Officer	Key employee	Highest compensated employee	Former			
H Patrick Hackett Jr Trustee	10 .....	X						0	0	0
Jay C Hoag Trustee	10 .....	X						0	0	0
Nancy Tnenens Kaehler Trustee	10 .....	X						0	0	0
Ellen Philips Katz Trustee	10 .....	X						0	0	0
Harreld N Kirkpatrick III Trustee	10 .....	X						0	0	0
Lester B Knight Trustee	10 .....	X						0	0	0
J Landis Martin Trustee	10 .....	X						0	0	0
Wendy M Nelson Trustee	10 .....	X						0	0	0
William A Osborn Trustee	10 .....	X						0	0	0
Jane DiRenzo Pigott Trustee	10 .....	X						0	0	0

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
JB Pritzker	10									
Trustee	.....	X						0	0	0
Kimberly Querrey	10									
Trustee	.....	X						0	0	0
M Jude Reyes	10									
Trustee	.....	X						0	0	0
Patrick G Ryan Jr	10									
Trustee	.....	X						0	0	0
David A Sachs	10									
Trustee	.....	X						0	0	0
Muneer A Satter	10									
Trustee	.....	X						0	0	0
Andrew E Senyei MD	10									
Trustee	.....	X						0	0	0
Michael S Shannon	10									
Trustee	.....	X						0	0	0
Benjamin W Slivka	10									
Trustee	.....	X						0	0	0
Timothy P Sullivan	10									
Trustee	.....	X						0	0	0

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Charles A Tribbett III Trustee	10 .....	X						0	0	0
Jeffrey W Ubben Trustee	10 .....	X						0	0	0
Frederick H Waddell Trustee	10 .....	X						0	0	0
David B Weinberg Trustee	10 .....	X						0	0	0
Miles D White Trustee	10 .....	X						0	0	0
Stephen R Wilson Trustee	10 .....	X						0	0	0
Morton O Schapiro President	40 .....			X				1,590,081	0	436,752
Jonathan Holloway Provost	40 .....			X				487,487	0	37,421
Mary L Baglivo VP Global Marketing	40 .....			X				353,652	0	48,830
Pamela S Beemer VP for Human Resources	40 .....			X				415,663	0	31,658

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Paul Castellucci VP Budget and Planning	40 0 .....			X				396,273	0	27,680
Nimalan Chinniah Executive Vice President	40 0 .....			X				1,016,844	0	135,296
Alan K Cubbage VP University Relations	40 0 .....			X				332,215	0	42,834
John L D'Angelo VP for Facilities Management	40 0 .....			X				566,467	0	50,696
Devora Grynspan VP International Relations	40 0 .....			X				237,207	0	33,809
Philip L Harris VP General Counsel	40 0 .....			X				812,892	0	80,966
Craig A Johnson Interim Senior Vice President	40 0 .....			X				614,082	0	134,580
Marilyn McCoy VP Administration & Planning	40 0 .....			X				455,505	0	50,640
William H McLean VP and Chief Investment Officer	40 0 .....			X				1,881,386	0	489,296
Robert E McQuinn VP for Development	40 0 .....			X				913,561	0	226,118

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors										
(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Instructional Trustee	Officer	Key employee	Highest compensated employee	Former			
Eric G Neilson VP Medical Affairs	30 0 .....			X				584,435	0	22,323
James J Phillips VP Athletics	40 0 .....			X				1,894,530	0	170,473
Sean Reynolds VP and Chief Information Officer	40 0 .....			X				498,550	0	34,688
Ingrid S Stafford VP for Financial Operations	40 0 .....			X				357,493	0	34,760
Patricia Telles-Irvin VP Student Affairs	40 0 .....			X				503,949	0	50,696
Joseph T Walsh Jr VP for Research	40 0 .....			X				389,432	0	67,567
Patrick W Fitzgerald II Head Coach	40 0 .....					X		5,086,657	0	58,280
Christopher R Collins Head Coach	40 0 .....					X		2,457,172	0	108,057
Maciej S Lesniak Professor Neurological Surgery	40 0 .....					X		1,363,881	0	27,704
Sally E Blount Dean, Kellogg	40 0 .....					X		1,093,988	0	37,238

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Peter A Belytschko Managing Director, Investments	40 0 .....					X		994,521	0	288,147
Daniel I Linzer Former Provost	40 0 .....						X	645,716	0	292,294

<b>SCHEDULE A</b> (Form 990 or 990EZ)	<b>Public Charity Status and Public Support</b> Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust. ▶ Attach to Form 990 or Form 990-EZ. ▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at <a href="http://www.irs.gov/form990">www.irs.gov/form990</a> .	OMB No 1545-0047 <b>2017</b> <b>Open to Public Inspection</b>
	Department of the Treasury Internal Revenue Service <b>Name of the organization</b> Northwestern University	<b>Employer identification number</b> 36-2167817

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 12, check only one box )

- 1

☐

A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2

☒

A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ) )
- 3

☐

A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4

☐

A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state \_\_\_\_\_
- 5

☐

An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II )
- 6

☐

A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7

☐

An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II )
- 8

☐

A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II )
- 9

☐

An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture See instructions Enter the name, city, and state of the college or university \_\_\_\_\_
- 10

☐

An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2)**. (Complete Part III )
- 11

☐

An organization organized and operated exclusively to test for public safety See **section 509(a)(4)**.
- 12

☐

An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g
- a

☐

**Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization **You must complete Part IV, Sections A and B.**
- b

☐

**Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s) **You must complete Part IV, Sections A and C.**
- c

☐

**Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions) **You must complete Part IV, Sections A, D, and E.**
- d

☐

**Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions) **You must complete Part IV, Sections A and D, and Part V.**
- e

☐

Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization
- f

Enter the number of supported organizations \_\_\_\_\_
- g

Provide the following information about the supported organization(s)

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
<b>Total</b>						

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv), 170(b)(1)(A)(vi), and 170(b)(1)(A)(ix)

(Complete only if you checked the box on line 5, 7, 8, or 9 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grant.")	625,656,043	501,895,829	457,650,977	395,669,600	373,724,245	2,354,596,694
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0
4 <b>Total.</b> Add lines 1 through 3	625,656,043	501,895,829	457,650,977	395,669,600	373,724,245	2,354,596,694
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						271,295,170
6 <b>Public support.</b> Subtract line 5 from line 4						2,083,301,524

Section B. Total Support						
Calendar year (or fiscal year beginning in) ►	(a)2013	(b)2014	(c)2015	(d)2016	(e)2017	(f)Total
7 Amounts from line 4	625,656,043	501,895,829	457,650,977	395,669,600	373,724,245	2,354,596,694
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	788,554,989	686,844,013	591,284,260	494,054,135	464,049,403	3,024,786,800
9 Net income from unrelated business activities, whether or not the business is regularly carried on		27,897,331	0	0	0	27,897,331
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part VI )	416,499	549,545	1,370,565	1,386,550	789,898	4,513,057
11 <b>Total support.</b> Add lines 7 through 10						5,411,793,882
12 Gross receipts from related activities, etc (see instructions)					12	9,077,260,801
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ► <input type="checkbox"/>						

Section C. Computation of Public Support Percentage		
14 Public support percentage for 2017 (line 6, column (f) divided by line 11, column (f))	14	38 50 %
15 Public support percentage for 2016 Schedule A, Part II, line 14	15	36 94 %
16a <b>33 1/3% support test—2017.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization ▶ <input checked="" type="checkbox"/>		
b <b>33 1/3% support test—2016.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
17a <b>10%-facts-and-circumstances test—2017.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
b <b>10%-facts-and-circumstances test—2016.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge						
<b>6 Total.</b> Add lines 1 through 5						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
<b>c</b> Add lines 7a and 7b						
<b>8 Public support.</b> (Subtract line 7c from line 6.)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>9</b> Amounts from line 6						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
<b>c</b> Add lines 10a and 10b						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.)						

**14 First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ► ☐

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2017 (line 8, column (f) divided by line 13, column (f))	<b>15</b>	
<b>16</b> Public support percentage from 2016 Schedule A, Part III, line 15	<b>16</b>	

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for <b>2017</b> (line 10c, column (f) divided by line 13, column (f))	<b>17</b>	
<b>18</b> Investment income percentage from <b>2016</b> Schedule A, Part III, line 17	<b>18</b>	

**19a 33 1/3% support tests—2017.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ► ☐

**b 33 1/3% support tests—2016.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ► ☐

**20 Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ► ☐

**Part IV Supporting Organizations**

(Complete only if you checked a box on line 12 of Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

	Yes	No
<b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>	<b>1</b>	
<b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>	<b>2</b>	
<b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>	<b>3a</b>	
<b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in <b>Part VI</b> when and how the organization made the determination.</i>	<b>3b</b>	
<b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in <b>Part VI</b> what controls the organization put in place to ensure such use.</i>	<b>3c</b>	
<b>4a</b> Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes" and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>	<b>4a</b>	
<b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>	<b>4b</b>	
<b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in <b>Part VI</b> what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>	<b>4c</b>	
<b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in <b>Part VI</b>, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>	<b>5a</b>	
<b>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	<b>5b</b>	
<b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?	<b>5c</b>	
<b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in <b>Part VI</b>.</i>	<b>6</b>	
<b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>	<b>7</b>	
<b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>	<b>8</b>	
<b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in <b>Part VI</b>.</i>	<b>9a</b>	
<b>b</b> Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in <b>Part VI</b>.</i>	<b>9b</b>	
<b>c</b> Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in <b>Part VI</b>.</i>	<b>9c</b>	
<b>10a</b> Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer line 10b below.</i>	<b>10a</b>	
<b>b</b> Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>	<b>10b</b>	

Part IV

Supporting Organizations (continued)

	Yes	No
<b>11</b> Has the organization accepted a gift or contribution from any of the following persons?		
<b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
<b>b</b> A family member of a person described in (a) above?		
<b>c</b> A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI</i>		

Section B. Type I Supporting Organizations

	Yes	No
<b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i>		
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.</i>		

Section C. Type II Supporting Organizations

	Yes	No
<b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i>		

Section D. All Type III Supporting Organizations

	Yes	No
<b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
<b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization (s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i>		
<b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i>		

Section E. Type III Functionally-Integrated Supporting Organizations

<b>1</b> Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions)		
<b>a</b> <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.		
<b>b</b> <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.		
<b>c</b> <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).		
<b>2</b> Activities Test. Answer (a) and (b) below.		
<b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i>		
<b>b</b> Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>		
<b>3</b> Parent of Supported Organizations. Answer (a) and (b) below.		
<b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i>		
<b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>		

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1** ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI) **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E

<b>Section A - Adjusted Net Income</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Net short-term capital gain	<b>1</b>		
<b>2</b> Recoveries of prior-year distributions	<b>2</b>		
<b>3</b> Other gross income (see instructions)	<b>3</b>		
<b>4</b> Add lines 1 through 3	<b>4</b>		
<b>5</b> Depreciation and depletion	<b>5</b>		
<b>6</b> Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	<b>6</b>		
<b>7</b> Other expenses (see instructions)	<b>7</b>		
<b>8 Adjusted Net Income</b> (subtract lines 5, 6 and 7 from line 4)	<b>8</b>		
<b>Section B - Minimum Asset Amount</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)	<b>1</b>		
<b>a</b> Average monthly value of securities	<b>1a</b>		
<b>b</b> Average monthly cash balances	<b>1b</b>		
<b>c</b> Fair market value of other non-exempt-use assets	<b>1c</b>		
<b>d Total</b> (add lines 1a, 1b, and 1c)	<b>1d</b>		
<b>e Discount</b> claimed for blockage or other factors (explain in detail in Part VI)			
<b>2</b> Acquisition indebtedness applicable to non-exempt use assets	<b>2</b>		
<b>3</b> Subtract line 2 from line 1d	<b>3</b>		
<b>4</b> Cash deemed held for exempt use Enter 1-1/2% of line 3 (for greater amount, see instructions)	<b>4</b>		
<b>5</b> Net value of non-exempt-use assets (subtract line 4 from line 3)	<b>5</b>		
<b>6</b> Multiply line 5 by .035	<b>6</b>		
<b>7</b> Recoveries of prior-year distributions	<b>7</b>		
<b>8 Minimum Asset Amount</b> (add line 7 to line 6)	<b>8</b>		
<b>Section C - Distributable Amount</b>			Current Year
<b>1</b> Adjusted net income for prior year (from Section A, line 8, Column A)	<b>1</b>		
<b>2</b> Enter 85% of line 1	<b>2</b>		
<b>3</b> Minimum asset amount for prior year (from Section B, line 8, Column A)	<b>3</b>		
<b>4</b> Enter greater of line 2 or line 3	<b>4</b>		
<b>5</b> Income tax imposed in prior year	<b>5</b>		
<b>6 Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	<b>6</b>		
<b>7</b> <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)			

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)**

<b>Section D - Distributions</b>	<b>Current Year</b>
<b>1</b> Amounts paid to supported organizations to accomplish exempt purposes	
<b>2</b> Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
<b>3</b> Administrative expenses paid to accomplish exempt purposes of supported organizations	
<b>4</b> Amounts paid to acquire exempt-use assets	
<b>5</b> Qualified set-aside amounts (prior IRS approval required)	
<b>6</b> Other distributions (describe in <b>Part VI</b> ) See instructions	
<b>7 Total annual distributions.</b> Add lines 1 through 6	
<b>8</b> Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ) See instructions	
<b>9</b> Distributable amount for 2017 from Section C, line 6	
<b>10</b> Line 8 amount divided by Line 9 amount	

<b>Section E - Distribution Allocations (see instructions)</b>	<b>(i) Excess Distributions</b>	<b>(ii) Underdistributions Pre-2017</b>	<b>(iii) Distributable Amount for 2017</b>
<b>1</b> Distributable amount for 2017 from Section C, line 6			
<b>2</b> Underdistributions, if any, for years prior to 2017 (reasonable cause required-- explain in Part VI) See instructions			
<b>3</b> Excess distributions carryover, if any, to 2017			
<b>a</b>			
<b>b</b> From 2013. . . . .			
<b>c</b> From 2014. . . . .			
<b>d</b> From 2015. . . . .			
<b>e</b> From 2016. . . . .			
<b>f</b> Total of lines 3a through e			
<b>g</b> Applied to underdistributions of prior years			
<b>h</b> Applied to 2017 distributable amount			
<b>i</b> Carryover from 2012 not applied (see instructions)			
<b>j</b> Remainder Subtract lines 3g, 3h, and 3i from 3f			
<b>4</b> Distributions for 2017 from Section D, line 7 \$			
<b>a</b> Applied to underdistributions of prior years			
<b>b</b> Applied to 2017 distributable amount			
<b>c</b> Remainder Subtract lines 4a and 4b from 4			
<b>5</b> Remaining underdistributions for years prior to 2017, if any Subtract lines 3g and 4a from line 2 If the amount is greater than zero, explain in Part VI See instructions			
<b>6</b> Remaining underdistributions for 2017 Subtract lines 3h and 4b from line 1 If the amount is greater than zero, explain in Part VI See instructions			
<b>7 Excess distributions carryover to 2018.</b> Add lines 3j and 4c			
<b>8</b> Breakdown of line 7			
<b>a</b> Excess from 2013. . . . .			
<b>b</b> Excess from 2014. . . . .			
<b>c</b> Excess from 2015. . . . .			
<b>d</b> Excess from 2016. . . . .			
<b>e</b> Excess from 2017. . . . .			

**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10, Part II, line 17a or 17b, Part III, line 12, Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c, Part IV, Section B, lines 1 and 2, Part IV, Section C, line 1, Part IV, Section D, lines 2 and 3, Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b, Part V, line 1, Part V, Section B, line 1e, Part V Section D, lines 5, 6, and 8, and Part V, Section E, lines 2, 5, and 6 Also complete this part for any additional information (See instructions)

<b>Facts And Circumstances Test</b>

**990 Schedule A, Supplemental Information**

Return Reference	Explanation
Schedule A, Part II, Line 10 Other Income	DESCRIPTION - FUNDRAISING, COLUMN A - 416499 0, COLUMN B - 549545 0, COLUMN C - 1370565 0, COLUMN D - 1386550 0, COLUMN E - 789898 0, COLUMN F - 4513057 0,

<b>SCHEDULE C</b> (Form 990 or 990-EZ)	<b>Political Campaign and Lobbying Activities</b>	OMB No 1545-0047
	<b>For Organizations Exempt From Income Tax Under section 501(c) and section 527</b>	<b>2017</b>
Department of the Treasury Internal Revenue Service	<b>▶Complete if the organization is described below. ▶Attach to Form 990 or Form 990-EZ.</b> <b>▶Information about Schedule C (Form 990 or 990-EZ) and its instructions is at <a href="http://www.irs.gov/form990">www.irs.gov/form990</a>.</b>	<b>Open to Public Inspection</b>

**If the organization answered "Yes" on Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then**

- Section 501(c)(3) organizations Complete Parts I-A and B Do not complete Part I-C
- Section 501(c) (other than section 501(c)(3)) organizations Complete Parts I-A and C below Do not complete Part I-B
- Section 527 organizations Complete Part I-A only

**If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)) Complete Part II-A Do not complete Part II-B
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)) Complete Part II-B Do not complete Part II-A

**If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then**

- Section 501(c)(4), (5), or (6) organizations Complete Part III

Name of the organization Northwestern University	<b>Employer identification number</b> 36-2167817
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**Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.**

- 1** Provide a description of the organization's direct and indirect political campaign activities in Part IV (see instructions for definition of "political campaign activities")
- 2** Political campaign activity expenditures (see instructions) ▶ \$ \_\_\_\_\_
- 3** Volunteer hours for political campaign activities (see instructions) \_\_\_\_\_

**Part I-B Complete if the organization is exempt under section 501(c)(3).**

- 1** Enter the amount of any excise tax incurred by the organization under section 4955 ▶ \$ \_\_\_\_\_
- 2** Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ \$ \_\_\_\_\_
- 3** If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ **Yes** ☐ **No**
- 4a** Was a correction made? ☐ **Yes** ☐ **No**
- b** If "Yes," describe in Part IV

**Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).**

- 1** Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ \$ \_\_\_\_\_
- 2** Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ \$ \_\_\_\_\_
- 3** Total exempt function expenditures Add lines 1 and 2 Enter here and on Form 1120-POL, line 17b ▶ \$ \_\_\_\_\_
- 4** Did the filing organization file **Form 1120-POL** for this year? ☐ **Yes** ☐ **No**
- 5** Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments For each organization listed, enter the amount paid from the filing organization's funds Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC) If additional space is needed, provide information in Part IV

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds If none, enter -0-	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization If none, enter -0-
1				
2				
3				
4				
5				
6				

Part II-A

Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A
- Check
- ☐
- if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures)
- B
- Check
- ☐
- if the filing organization checked box A and "limited control" provisions apply

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	(a) Filing organization's totals	(b) Affiliated group totals												
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)	0													
b Total lobbying expenditures to influence a legislative body (direct lobbying)	672,552													
c Total lobbying expenditures (add lines 1a and 1b)	672,552													
d Other exempt purpose expenditures	2,957,470,679													
e Total exempt purpose expenditures (add lines 1c and 1d)	2,958,143,231													
f Lobbying nontaxable amount Enter the amount from the following table in both columns	1,000,000	0												
<table><tr><th>If the amount on line 1e, column (a) or (b) is:</th><th>The lobbying nontaxable amount is:</th></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000</td></tr></table>	If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000	Over \$17,000,000	\$1,000,000		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:													
Not over \$500,000	20% of the amount on line 1e													
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000													
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000													
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000													
Over \$17,000,000	\$1,000,000													
g Grassroots nontaxable amount (enter 25% of line 1f)	250,000													
h Subtract line 1g from line 1a If zero or less, enter -0-	0													
i Subtract line 1f from line 1c If zero or less, enter -0-	0													
j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?	<input type="checkbox"/> Yes <input type="checkbox"/> No													

4-Year Averaging Period Under section 501(h)  
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2014	(b) 2015	(c) 2016	(d) 2017	(e) Total
2a Lobbying nontaxable amount	1,000,000	1,000,000	1,000,000	1,000,000	4,000,000
b Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000
c Total lobbying expenditures	778,346	693,210	545,895	672,552	2,690,003
d Grassroots nontaxable amount	250,000	250,000	250,000	250,000	1,000,000
e Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000
f Grassroots lobbying expenditures	0	0	0	0	0

**Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity

		(a)		(b)
		Yes	No	Amount
<b>1</b>	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of			
<b>a</b>	Volunteers?			
<b>b</b>	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?			
<b>c</b>	Media advertisements?			
<b>d</b>	Mailings to members, legislators, or the public?			
<b>e</b>	Publications, or published or broadcast statements?			
<b>f</b>	Grants to other organizations for lobbying purposes?			
<b>g</b>	Direct contact with legislators, their staffs, government officials, or a legislative body?			
<b>h</b>	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?			
<b>i</b>	Other activities?			
<b>j</b>	Total. Add lines 1c through 1i			
<b>2a</b>	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
<b>b</b>	If "Yes," enter the amount of any tax incurred under section 4912			
<b>c</b>	If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
<b>d</b>	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

**Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).**

	Yes	No
<b>1</b> Were substantially all (90% or more) dues received nondeductible by members?	<b>1</b>	
<b>2</b> Did the organization make only in-house lobbying expenditures of \$2,000 or less?	<b>2</b>	
<b>3</b> Did the organization agree to carry over lobbying and political expenditures from the prior year?	<b>3</b>	

**Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."**

<b>1</b> Dues, assessments and similar amounts from members	<b>1</b>	
<b>2</b> Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
<b>a</b> Current year	<b>2a</b>	
<b>b</b> Carryover from last year	<b>2b</b>	
<b>c</b> Total	<b>2c</b>	
<b>3</b> Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	<b>3</b>	
<b>4</b> If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	<b>4</b>	
<b>5</b> Taxable amount of lobbying and political expenditures (see instructions)	<b>5</b>	

**Part IV Supplemental Information**

Provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, Part II-A (affiliated group list), Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation
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DLN: 93493192010579

SCHEDULE D  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Supplemental Financial Statements

► Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.  
► Attach to Form 990.  
Information about Schedule D (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

Part I

Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.  
Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year	1	1
2 Aggregate value of contributions to (during year)	372,127	0
3 Aggregate value of grants from (during year)	20,186,550	0
4 Aggregate value at end of year	7,048,208	2,711,967

5

Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?

☒ Yes ☐ No

6

Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?

☒ Yes ☐ No

Part II

Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1

Purpose(s) of conservation easements held by the organization (check all that apply)

☐ Preservation of land for public use (e g , recreation or education)

☐ Preservation of an historically important land area

☐ Protection of natural habitat

☐ Preservation of a certified historic structure

☐ Preservation of open space

2

Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

	Held at the End of the Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

3

Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ►

4

Number of states where property subject to conservation easement is located ►

5

Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

☐ Yes ☐ No

6

Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ►

7

Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ► \$

8

Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?

☐ Yes ☐ No

9

In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

Part III

Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.  
Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a

If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b

If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i)

Revenue included on Form 990, Part VIII, line 1

► \$

(ii)

Assets included in Form 990, Part X

► \$

2

If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items

a

Revenue included on Form 990, Part VIII, line 1

► \$

b

Assets included in Form 990, Part X

► \$

Part III

Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3

Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply)

a

☐ Public exhibition

b

☐ Scholarly research

c

☐ Preservation for future generations

d

☐ Loan or exchange programs

e

☐ Other

4

Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII

5

During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?

☐ Yes

☐ No

Part IV

Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a

Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIII and complete the following table

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

	Amount
1c	
1d	
1e	
1f	

2a

Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII

☐

Part V

Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a)Current year	(b)Prior year	(c)Two years back	(d)Three years back	(e)Four years back
1a Beginning of year balance	7,947,574,000	7,478,167,000	7,588,029,000	7,501,116,000	6,283,130,000
b Contributions	142,330,000	137,388,000	210,532,000	269,199,000	516,836,000
c Net investment earnings, gains, and losses	666,151,000	699,060,000	75,343,000	157,310,000	1,075,117,000
d Grants or scholarships	59,278,629	57,423,395	54,569,108	53,907,452	48,218,677
e Other expenditures for facilities and programs	309,858,371	309,617,605	341,167,892	285,688,548	325,748,323
f Administrative expenses				0	0
g End of year balance	8,386,918,000	7,947,574,000	7,478,167,000	7,588,029,000	7,501,116,000

2

Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as

a

Board designated or quasi-endowment

50 4 %

b

Permanent endowment

18 8 %

c

Temporarily restricted endowment

30 8 %

The percentages on lines 2a, 2b, and 2c should equal 100%

3a

Are there endowment funds not in the possession of the organization that are held and administered for the organization by

(i) unrelated organizations

3a(i)

No

(ii) related organizations

3a(ii)

No

b

If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R?

3b

4

Describe in Part XIII the intended uses of the organization's endowment funds

Part VI

Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		31,036,168		31,036,168
b Buildings		4,351,713,264	1,329,284,430	3,022,428,834
c Leasehold improvements		39,829,487	17,866,525	21,962,962
d Equipment		651,032,995	468,426,334	182,606,661
e Other				
Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c))				3,258,034,625

Schedule D (Form 990) 2017

Part VII

Investments—Other Securities. Complete if the organization answered "Yes" on Form 990, Part IV, line 11b.  
See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) Financial derivatives . . . . .	2,424,851,151	F
(2) Closely-held equity interests . . . . .		
(3) Other _____ (A) Equity, fixed income, real assets, etc	6,908,445,873	F
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Column (b) must equal Form 990, Part X, col (B) line 12 ) ▶	9,333,297,024	

Part VIII

Investments—Program Related. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Column (b) must equal Form 990, Part X, col (B) line 13 ) ▶		

Part IX

Other Assets. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d See Form 990, Part X, line 15

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col (B) line 15 ) . . . . . ▶	

Part X

Other Liabilities. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11e or 11f.  
See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	1,443,376
Deposits payable, actuarial liability of annuities payable	154,743,199
Government advances for student loans	19,077,000
Asset retirement obligations	3,252,965
Taxable bonds - series 2012	199,086,396
Taxable bonds - series 2013	563,401,757
Taxable bonds - series 2015	497,336,750
Taxable bonds - series 2017	497,477,310
Other debt payable - lines of credit	115,000,000
(9)	
Total. (Column (b) must equal Form 990, Part X, col (B) line 25 ) ▶	2,050,818,753

2. Liability for uncertain tax positions In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740) Check here if the text of the footnote has been provided in Part XIII

☒

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

<b>1</b>	Total revenue, gains, and other support per audited financial statements . . . . .		<b>1</b>	
<b>2</b>	Amounts included on line 1 but not on Form 990, Part VIII, line 12			
<b>a</b>	Net unrealized gains (losses) on investments . . . . .	<b>2a</b>		
<b>b</b>	Donated services and use of facilities . . . . .	<b>2b</b>		
<b>c</b>	Recoveries of prior year grants . . . . .	<b>2c</b>		
<b>d</b>	Other (Describe in Part XIII ) . . . . .	<b>2d</b>		
<b>e</b>	Add lines <b>2a</b> through <b>2d</b> . . . . .		<b>2e</b>	
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b> . . . . .		<b>3</b>	
<b>4</b>	Amounts included on Form 990, Part VIII, line 12, but not on line <b>1</b>			
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b . . . . .	<b>4a</b>		
<b>b</b>	Other (Describe in Part XIII ) . . . . .	<b>4b</b>		
<b>c</b>	Add lines <b>4a</b> and <b>4b</b> . . . . .		<b>4c</b>	
<b>5</b>	Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12 ) . . . . .		<b>5</b>	

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

<b>1</b>	Total expenses and losses per audited financial statements . . . . .		<b>1</b>	
<b>2</b>	Amounts included on line 1 but not on Form 990, Part IX, line 25			
<b>a</b>	Donated services and use of facilities . . . . .	<b>2a</b>		
<b>b</b>	Prior year adjustments . . . . .	<b>2b</b>		
<b>c</b>	Other losses . . . . .	<b>2c</b>		
<b>d</b>	Other (Describe in Part XIII ) . . . . .	<b>2d</b>		
<b>e</b>	Add lines <b>2a</b> through <b>2d</b> . . . . .		<b>2e</b>	
<b>3</b>	Subtract line <b>2e</b> from line <b>1</b> . . . . .		<b>3</b>	
<b>4</b>	Amounts included on Form 990, Part IX, line 25, but not on line <b>1</b> :			
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b . . . . .	<b>4a</b>		
<b>b</b>	Other (Describe in Part XIII ) . . . . .	<b>4b</b>		
<b>c</b>	Add lines <b>4a</b> and <b>4b</b> . . . . .		<b>4c</b>	
<b>5</b>	Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18 ) . . . . .		<b>5</b>	

**Part XIII Supplemental Information**

Provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference	Explanation
See Additional Data Table	

**Part XIII** Supplemental Information *(continued)*

Return Reference	Explanation

# Additional Data

**Software ID:** 17005876  
**Software Version:** 2017v2.2  
**EIN:** 36-2167817  
**Name:** Northwestern University

## Form 990, Schedule D, Part X, - Other Liabilities

1	(a) Description of Liability	(b) Book Value
	Deposits payable, actuarial liability of annuities payable	154,743,199
	Government advances for student loans	19,077,000
	Asset retirement obligations	3,252,965
	Taxable bonds - series 2012	199,086,396
	Taxable bonds - series 2013	563,401,757
	Taxable bonds - series 2015	497,336,750
	Taxable bonds - series 2017	497,477,310
	Other debt payable - lines of credit	115,000,000

# Supplemental Information

Return Reference	Explanation
Schedule D, Part III, Line 1a ART COLLECTIONS	EXPLANATION THE UNIVERSITY DOES NOT CAPITALIZE COLLECTIONS AS STATED IN THE UNIVERSITY NOTES TO THE FINANCIAL STATEMENTS, THE ACCOUNTING POLICY FOR LIBRARY COLLECTIONS IS TO EXPENSE ALL PURCHASES MUSEUM PURCHASES ARE ACCOUNTED FOR SIMILARLY GIFTS OF ART AND SIMILAR TANGIBLE PERSONAL PROPERTY ARE ACCOUNTED FOR AS GIFTS-IN-KIND

## Supplemental Information

Return Reference	Explanation
Schedule D, Part X LINE 1(4) - ASSET RETIREMENT OBLIGATIONS	THE UNIVERSITY RECORDS ALL KNOWN ASSET RETIREMENT OBLIGATIONS (ARO) FOR WHICH THE FAIR VALUE OF THE LIABILITY CAN BE REASONABLY ESTIMATED, INCLUDING CERTAIN OBLIGATIONS RELATING TO REGULATORY REMEDIATION ARO COVERED INCLUDE THOSE FOR WHICH AN ENTITY HAS A LEGAL OBLIGATION TO PERFORM AN ASSET RETIREMENT ACTIVITY, HOWEVER, THE TIMING AND/OR METHOD OF SETTLING THE OBLIGATION ARE CONDITIONAL ON A FUTURE EVENT THAT MAY OR MAY NOT BE WITHIN THE CONTROL OF THE ENTITY

Supplemental Information	
Return Reference	Explanation
Schedule D, Part V, Line 4 Intended uses of endowment funds	The University's endowment funds purposes include instruction, research, library collections, scholarships and awards, and building construction

## Supplemental Information

Return Reference	Explanation
Schedule D, Part X, Line 2 FIN 48 (ASC 740) footnote	The University makes an assessment of individual tax positions and follows a process for recognition and measurement of uncertain tax positions. Tax positions are evaluated on whether they meet the "more likely than not" standard for sustainability on examination by tax authorities.

SCHEDULE E (Form 990 or 990-EZ)	<div>Schools</div> <div>▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.</div> <div>▶ Attach to Form 990 or Form 990-EZ.</div> <div>▶ Information about Schedule E (Form 990 or 990-EZ) and its instructions is at <a href="http://www.irs.gov/form990">www.irs.gov/form990</a>.</div>	OMB No 1545-0047
		2017
		Open to Public Inspection

Department of the Treasury Name of the organization Northwestern University	Employer identification number 36-2167817
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Part I		YES	NO	
1	Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?	1	Yes	
2	Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?	2	Yes	
3	Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe If "No," please explain If you need more space use Part II	3	Yes	
4	Does the organization maintain the following?			
a	Records indicating the racial composition of the student body, faculty, and administrative staff?	4a	Yes	
b	Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?	4b	Yes	
c	Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?	4c	Yes	
d	Copies of all material used by the organization or on its behalf to solicit contributions? If you answered "No" to any of the above, please explain If you need more space, use Part II	4d	Yes	
5	Does the organization discriminate by race in any way with respect to			
a	Students' rights or privileges?	5a		No
b	Admissions policies?	5b		No
c	Employment of faculty or administrative staff?	5c		No
d	Scholarships or other financial assistance?	5d		No
e	Educational policies?	5e		No
f	Use of facilities?	5f		No
g	Athletic programs?	5g		No
h	Other extracurricular activities? If you answered "Yes" to any of the above, please explain If you need more space, use Part II	5h		No
6a	Does the organization receive any financial aid or assistance from a governmental agency?	6a	Yes	
b	Has the organization's right to such aid ever been revoked or suspended? If you answered "Yes" to either line 6a or line 6b, explain on Part II	6b		No
7	Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Part II	7	Yes	

**Part II Supplemental Information.** Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable. Also provide any other additional information (see instructions).

Return Reference	Explanation
Schedule E, Part I, Line 3 RACIALLY NONDISCRIMINATORY POLICY	Policies are included in student, faculty, and staff handbooks and the student course catalog. Policies are posted on University websites, posted throughout campus including student centers and the admissions office, and distributed to undergraduate students.
Schedule E, Part I, Line 6(a) FINANCIAL AID OR ASSISTANCE FROM A GOVERNMENT	The University receives financial support from agencies of the federal and state government for research and instructional purposes, including for financial aid to students.
Schedule E, Part I, Line 7 RACIAL NONDISCRIMINATION COMPLIANCE	NORTHWESTERN UNIVERSITY DOES NOT DISCRIMINATE OR PERMIT DISCRIMINATION BY ANY MEMBER OF ITS COMMUNITY AGAINST ANY INDIVIDUAL ON THE BASIS OF RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, PREGNANCY, SEXUAL ORIENTATION, GENDER IDENTITY, GENDER EXPRESSION, PARENTAL STATUS, MARITAL STATUS, AGE, DISABILITY, CITIZENSHIP STATUS, OR VETERAN STATUS, OR GENETIC INFORMATION, OR ANY OTHER CLASSIFICATION PROTECTED BY LAW IN MATTERS OF ADMISSIONS, EMPLOYMENT, HOUSING, OR SERVICES OR IN THE EDUCATIONAL PROGRAMS OR ACTIVITIES IT OPERATES.

**SCHEDULE F  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

Name of the organization  
Northwestern University

**Statement of Activities Outside the United States**

► Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.

► Attach to Form 990.

► Information about Schedule F (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

**Employer identification number**

36-2167817

**Part I General Information on Activities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 14b.

**1 For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ **Yes** ☐ **No**

**2 For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States

**3** Activities per Region (The following Part I, line 3 table can be duplicated if additional space is needed )

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in region	(d) Activities conducted in region (by type) (e g , fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for and investments in region
See Add'l Data					
<b>3a</b> Sub-total	1	424			55,521,951
<b>b</b> Total from continuation sheets to Part I					3,155,936,530
<b>c Totals</b> (add lines 3a and 3b)	1	424			3,211,458,481

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

[illegible]

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . 1

3	Enter total number of other organizations or entities	26
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<b>Part III</b>	<b>Grants and Other Assistance to Individuals Outside the United States.</b> Complete if the organization answered "Yes" to Form 990, Part IV, line 16.
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Part III can be duplicated if additional space is needed.

[illegible]

**Part IV Foreign Forms**

- 1 Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U S Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* ☒ Yes ☐ No
- 2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U S Owner (see Instructions for Forms 3520 and 3520-A, do not file with Form 990)* ☐ Yes ☒ No
- 3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U S Persons with Respect to Certain Foreign Corporations (see Instructions for Form 5471)* ☒ Yes ☐ No
- 4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund (see Instructions for Form 8621)* ☒ Yes ☐ No
- 5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U S Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)* ☒ Yes ☐ No
- 6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713, do not file with Form 990)* ☒ Yes ☐ No

**Part V**   **Supplemental Information**

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information (see instructions).

Return Reference	Explanation
Schedule F, Part I, Line 2 Procedures for monitoring use of grant funds	Grants or other assistance are awarded to foreign organizations or entities pursuant to the University policies and procedures for all grant subawards. Such subawards are monitored through the University's office for Sponsored Research (OSR) and the University's office of Accounting Services for Research and Sponsored Programs (ASRSP). All subaward documentation including purchase orders, related charges and invoices are reviewed and monitored by ASRSP and confirmed with the principal investigator. The principal investigator must certify that the subaward costs are in accordance with the Office of Management and Budget's (OMB) Uniform Guidance (Uniform Administrative Requirements, Cost Principles, and Audit Requirements), also, ASRSP requests and collects audit reports from subaward recipients to monitor compliance, as required by the Uniform Guidance. If the information is not furnished to ASRSP, payment may be withheld.

Return Reference	Explanation
Schedule F, Part II, Line 1 Method used to account for cash grants	In connection with the monitoring of subawards through OSR, approved purchase orders and invoices are documented and accounted for in the University's electronic financial recording system, and such amounts are reflected in Part II, Line 1 Of the 27 organizations that received grants in Part II, 19 are universities, colleges, and hospitals, 3 are research centers, one is a healthcare NGO, and one is a section 501(c)(3) organization

Return Reference	Explanation
Schedule F, Part III(c) Estimated number of recipients	Cash grants given to individuals are recorded in an electronic reporting tool. The data recorded includes information as to participation by undergraduate students in study abroad programming. Individual recipients of cash grants are coded with unique identifying numbers. Grants associated with undergraduate students coded as participating in a study abroad are reviewed to assess whether there is an overlap between the grant disbursement date and the date of the applicable study abroad program. The number of such students, based on their unique identifying numbers, are summed and reflected in Part III, column (c).

Return Reference	Explanation
Schedule F, Part I, Line 1 Program Services	<p>The program services listed in Part I reflect international educational programs in which the University has material involvement in the design, development and/or control of the program and/or curriculum. While Northwestern University provides its students with access to a multitude of study abroad programs and exchanges located throughout the world, the University does not administer or operate the educational courses taught by all of these programs. Rather, under reciprocity and affiliation agreements, the University helps facilitate its students' access to such international programs and recognizes credit earned by students at such foreign educational institutions, and such exchange programs are excluded from Schedule F, Part I. Under Northwestern University's current accounting procedures, all expenses associated with study abroad programs are not separately tracked, and therefore some expenditures per program are not listed in Part I, column (f).</p>

Return Reference	Explanation
Schedule F, Part I, Line 3(f) Method used to account for expenditures	Expenditures reported in Part I are prepared using the accrual method of accounting. University activities are assigned a unique identifying number. Direct expenses are recorded with respect to each activity in the University's electronic financial recording system. Such direct expenses, for the relevant tax year, are reflected in column (f).

## Additional Data

**Software ID:** 17005876

**Software Version:** 2017v2.2

**EIN:** 36-2167817

**Name:** Northwestern University

### Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Middle East and North Africa	1	424	Maintaining offices, employees, or agents	International campus in Doha, Qatar for students in journalism and communication	50,641,657
East Asia and the Pacific	0	0	Grantmaking		567,685

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Europe (Including Iceland and Greenland)	0	0	Grantmaking		2,497,282
Middle East and North Africa	0	0	Grantmaking		140,406

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Grantmaking		789,948
South America	0	0	Grantmaking		131,645

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South Asia	0	0	Grantmaking		29,792
Sub-Saharan Africa	0	0	Grantmaking		662,277

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
East Asia and the Pacific	0	0	,Program-Related Investments		10,000
Europe (Including Iceland and Greenland)	0	0	,Program-Related Investments		36,234

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	Unrelated Business Activities		784
East Asia and the Pacific	0	0	Unrelated Business Activities		1,018

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Europe (Including Iceland and Greenland)	0	0	Unrelated Business Activities		8,822
Middle East and North Africa	0	0	Unrelated Business Activities		2,947

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Unrelated Business Activities		1,038
South America	0	0	Unrelated Business Activities		416

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Sub-Saharan Africa	0	0	Unrelated Business Activities		682
Central America and the Caribbean	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	88,836

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
East Asia and the Pacific	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	1,842,974
Europe (Including Iceland and Greenland)	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	3,657,880

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Middle East and North Africa	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	914,437
North America (Canada & Mexico only)	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	554,279

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Russia and Neighboring States	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	66,142
South America	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	269,052

**Form 990 Schedule F Part I - Activities Outside The United States**

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South Asia	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	161,466
Sub-Saharan Africa	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	351,397

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	Program Services	Study abroad programs and courses abroad	577,681
East Asia and the Pacific	0	0	Program Services	Study abroad programs and courses abroad	2,280,988

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Europe (Including Iceland and Greenland)	0	0	Program Services	Study abroad programs and courses abroad	3,769,835
Middle East and North Africa	0	0	Program Services	Study abroad programs and courses abroad	1,044,384

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Program Services	Study abroad programs and courses abroad	742,027
South America	0	0	Program Services	Study abroad programs and courses abroad	411,156

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South Asia	0	0	Program Services	Study abroad programs and courses abroad	152,065
Sub-Saharan Africa	0	0	Program Services	Study abroad programs and courses abroad	889,278

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
East Asia and the Pacific	0	0	Fundraising		210,288
Europe (Including Iceland and Greenland)	0	0	Fundraising		103,539

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Middle East and North Africa	0	0	Fundraising		17,296
North America (Canada & Mexico only)	0	0	Fundraising		10,848

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	Investments		2,586,000,000
Europe (Including Iceland and Greenland)	0	0	Investments		361,200,000

Form 990 Schedule F Part I - Activities Outside The United States					
(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Investments		85,360,000
Sub-Saharan Africa	0	0	Investments		105,260,000

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		South Asia	Support of charitable organization	12,500	ACH Direct Deposit or Check			
		Middle East and North Africa	Support of research activities	29,006	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Europe (Including Iceland and Greenland)	Support of research activities	149,040	ACH Direct Deposit or Check			
		North America (Canada & Mexico only)	Support of research activities	11,860	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America (Canada & Mexico only)	Support of research activities	16,440	ACH Direct Deposit or Check			
		Europe (Including Iceland and Greenland)	Support of research activities	41,382	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Europe (Including Iceland and Greenland)	Support of research activities	191,886	ACH Direct Deposit or Check			
		Sub-Saharan Africa	Support of research activities	148,735	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Sub-Saharan Africa	Support of research activities	43,951	ACH Direct Deposit or Check			
		Sub-Saharan Africa	Support of research activities	20,941	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America (Canada & Mexico only)	Support of research activities	119,729	ACH Direct Deposit or Check			
		North America (Canada & Mexico only)	Support of research activities	5,650	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Middle East and North Africa	Support of research activities	85,842	ACH Direct Deposit or Check			
		East Asia and the Pacific	Support of research activities	93,611	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		South Asia	Support of charitable organization	12,000	ACH Direct Deposit or Check			
		Sub-Saharan Africa	Support of research activities	130,672	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America (Canada & Mexico only)	Support of research activities	9,230	ACH Direct Deposit or Check			
		North America (Canada & Mexico only)	Support of research activities	16,655	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America (Canada & Mexico only)	Support of research activities	22,753	ACH Direct Deposit or Check			
		North America (Canada & Mexico only)	Support of research activities	580,404	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		East Asia and the Pacific	Support of research activities	118,373	ACH Direct Deposit or Check			
		Sub-Saharan Africa	Support of research activities	67,276	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Europe (Including Iceland and Greenland)	Support of research activities	14,929	ACH Direct Deposit or Check			
		Sub-Saharan Africa	Support of research activities	22,317	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Sub-Saharan Africa	Support of research activities	106,415	ACH Direct Deposit or Check			
		Europe (Including Iceland and Greenland)	Support of research activities	130,538	ACH Direct Deposit or Check			

Form 990 Schedule F Part II - Grants or Entities Outside The United States								
(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		South Asia	Support of research activities	5,292	ACH Direct Deposit or Check			

**Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S**

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Grants disbursed during student's enrollment in international program	East Asia and the Pacific	23	355,701	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	Europe (Including Iceland and Greenland)	151	1,969,507	Applied to student account, credits are refunded by check			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S							
(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Grants disbursed during student's enrollment in international program	Middle East and North Africa	3	25,558	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	North America (Canada & Mexico only)	4	7,227	Applied to student account, credits are refunded by check			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S							
(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Grants disbursed during student's enrollment in international program	South America	15	131,645	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	Sub-Saharan Africa	16	121,970	Applied to student account, credits are refunded by check			

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As Filed Data -

DLN: 93493192010579

SCHEDULE G  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

Supplemental Information Regarding  
Fundraising or Gaming Activities

Complete if the organization answered "Yes" on Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a  
▶ Attach to Form 990 or Form 990-EZ.  
▶ Information about Schedule G (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

Part I

Fundraising Activities

Complete if the organization answered "Yes" on Form 990, Part IV, line 17.  
Form 990-EZ filers are not required to complete this part.

1

Indicate whether the organization raised funds through any of the following activities. Check all that apply.

a

☒ Mail solicitations

e

☒ Solicitation of non-government grants

b

☒ Internet and email solicitations

f

☒ Solicitation of government grants

c

☒ Phone solicitations

g

☒ Special fundraising events

d

☒ In-person solicitations

2a

Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services?

☒ Yes

☐ No

b

If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization.

(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions?		(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col (i)	(vi) Amount paid to (or retained by) organization
		Yes	No			
Alexander Ross Group 2406 Prairie Ave Evanston, IL 60201	Fundraising campaign consultant		No		97,837	-97,837
Elisa Lewis Kline 578 Woodland Lane N Northfield, IL 60093	Fundraising campaign consultant		No		23,769	-23,769
Marcy B Waldinger Consulting LLC 3228 West Dobson Place Ann Arbor, MI 48105	Grant application assistance		No		43,133	-43,133
Meeting Achievements Inc 232 E 500 N Valparaiso, IN 46383	Symposium sponsorship solicitor	Yes		824,575	125,183	699,392
Stelter 10435 New York Ave Des Moines, IA 50322	Fundraising marketing consultant		No		119,960	-119,960
Timothy Volpe 1360 Verano Drive Palm Springs, CA 92264	Grant application assistance		No		14,587	-14,587
Total				824,575	424,469	400,106

3

List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

CA, CO, CT, DE, DC, FL, GA, AL, HI, ID, IL, IN, IA, KS, KY, LA, ME, AK, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, AZ, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, WY

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Cat No 50083H

Schedule G (Form 990 or 990-EZ) 2017

**Part II Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d)
		<b>Dance Marathon</b> (event type)	<b>Global Health Benefit</b> (event type)	<b>13</b> (total number)	Total events (add col (a) through col (c))
Revenue	<b>1</b> Gross receipts . . . . .	1,286,421	802,560	1,431,231	3,520,212
	<b>2</b> Less Contributions . . . . .	1,047,548	787,380	895,386	2,730,314
	<b>3</b> Gross income (line 1 minus line 2) . . . . .	238,873	15,180	535,845	789,898
Direct Expenses	<b>4</b> Cash prizes . . . . .	0	0	0	0
	<b>5</b> Noncash prizes . . . . .	0	0	0	0
	<b>6</b> Rent/facility costs . . . . .	104,285	0	139,350	243,635
	<b>7</b> Food and beverages . . . . .	0	66,641	150,540	217,181
	<b>8</b> Entertainment . . . . .		900	7,749	8,649
	<b>9</b> Other direct expenses . . . . .	15,689	28,446	125,471	169,606
	<b>10</b> Direct expense summary Add lines 4 through 9 in column (d) . . . . . ▶				639,071
	<b>11</b> Net income summary Subtract line 10 from line 3, column (d) . . . . . ▶				150,827

**Part III Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col (a) through col (c))
Revenue	<b>1</b> Gross revenue . . . . .				
	<b>2</b> Cash prizes . . . . .				
	<b>3</b> Noncash prizes . . . . .				
	<b>4</b> Rent/facility costs . . . . .				
	<b>5</b> Other direct expenses . . . . .				
Direct Expenses	<b>6</b> Volunteer labor . . . . .	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
	<b>7</b> Direct expense summary Add lines 2 through 5 in column (d) . . . . . ▶				
	<b>8</b> Net gaming income summary Subtract line 7 from line 1, column (d) . . . . . ▶				

**9** Enter the state(s) in which the organization conducts gaming activities \_\_\_\_\_

**a** Is the organization licensed to conduct gaming activities in each of these states?

☐ Yes ☐ No

**b** If "No," explain \_\_\_\_\_

**10a** Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year?

☐ Yes ☐ No

**b** If "Yes," explain \_\_\_\_\_

- 11** Does the organization conduct gaming activities with nonmembers? ☐ Yes ☐ No
- 12** Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? ☐ Yes ☐ No
- 13** Indicate the percentage of gaming activity conducted in
- |                                      |            |   |
|--------------------------------------|------------|---|
| <b>a</b> The organization's facility | <b>13a</b> | % |
| <b>b</b> An outside facility         | <b>13b</b> | % |
- 14** Enter the name and address of the person who prepares the organization's gaming/special events books and records

Name ▶ .....

Address ▶ .....

- 15a** Does the organization have a contract with a third party from whom the organization receives gaming revenue? ☐ Yes ☐ No

- b** If "Yes," enter the amount of gaming revenue received by the organization ▶ \$ \_\_\_\_\_ and the amount of gaming revenue retained by the third party ▶ \$ \_\_\_\_\_

- c** If "Yes," enter name and address of the third party

Name ▶ .....

Address ▶ .....

**16** Gaming manager information

Name ▶ .....

Gaming manager compensation ▶ \$ .....

Description of services provided ▶ .....

☐ Director/officer ☐ Employee ☐ Independent contractor

**17** Mandatory distributions

- a** Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? ☐ Yes ☐ No

- b** Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ \$ \_\_\_\_\_

**Part IV Supplemental Information.** Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information (see instructions).

Return Reference	Explanation
Schedule G, Part I, Line 3 State Solicitation Registrations	No registration is required in Arizona, Delaware, Idaho, Indiana, Iowa, Nebraska, South Dakota, Texas, Vermont, and Wyoming
Schedule G, Part I, Line 2b(v) Reimbursement of Expenses	The following professional fundraisers received reimbursements for expenses associated with their services to the University (the amount of expenses reimbursed as reflected) Alexander Ross Group (\$4,892), Marcy B Waldinger Consulting LLC (\$1,533), Meeting Achievements (\$1,914), and Stelter (\$11,663), all in accordance with written agreements specifying reimbursement of expenses
Schedule G, Part I, Line 2b(iii) Custody of funds	Meeting Achievements received \$230,000 of funds on behalf of the University and remitted the entire amount to the University
Schedule G, Part I, Line 2b(ii) Describe the custody or control arrangement	MEETING ACHIEVEMENTS INC -MEETING ACHIEVEMENTS RECEIVED \$230,000 OF FUNDS ON BEHALF OF THE UNIVERSITY AND REMITTED THE ENTIRE AMOUNT TO THE UNIVERSITY ,
Schedule G, Part I, Line 2b(v) payment of fees or payment of expenses	ALEXANDER ROSS GROUP-ALEXANDER ROSS GROUP RECEIVED \$4,892 FOR EXPENSES AS AGREED IN ASSOCIATION WITH SERVICES TO THE UNIVERSITY ,MARCY B WALDINGER CONSULTING, LLC-MARCY B WALDINGER CONSULTING, LLC RECEIVED REIMBURSEMENTS FOR EXPENSES OF \$1,533 AS AGREED IN ASSOCIATION WITH SERVICES TO THE UNIVERSITY ,MEETING ACHIEVEMENTS INC -MEETING ACHIEVEMENTS RECEIVED REIMBURSEMENTS FOR EXPENSES OF \$1,914 AS AGREED IN ASSOCIATION WITH SERVICES TO THE UNIVERSITY ,STELTER-STELTER RECEIVED REIMBURSEMENTS FOR EXPENSES OF \$11,663 AS AGREED FOR PRINTING AND POSTAGE IN ASSOCIATION WITH SERVICES PROVIDED TO THE UNIVERSITY ,

Schedule I  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Name of the organization  
Northwestern University

Grants and Other Assistance to Organizations,  
Governments and Individuals in the United States

Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22.  
▶ Attach to Form 990.

▶ Information about Schedule I (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2017

Open to Public Inspection

Employer identification number  
36-2167817

Part I

General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . 

☒ Yes ☐ No
- 2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

Part II

Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed

(a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) See Additional Data							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . 247

3 Enter total number of other organizations listed in the line 1 table . . . . . 41

**Part III Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22

Part III can be duplicated if additional space is needed

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1) Student grants, scholarships, and fellowships are financial aid that can be used towards educational related costs	18261	398,534,261	186,176	Book	Winter gear and computers
(2) Prizes and awards reflect prizes and awards to non-employees in recognition of an accomplishment, activity, or event	228	490,396			
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

**Part IV Supplemental Information.** Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

Return Reference	Explanation
Schedule I, Part III PRIZES AND AWARDS	PRIZES AND AWARDS REFLECT PRIZES AND AWARDS EXTENDED TO NON-EMPLOYEES IN RECOGNITION OF AN ACCOMPLISHMENT, ACTIVITY, OR EVENT PRIZES AND AWARDS GIVEN TO EMPLOYEES ARE INCLUDED AS COMPENSATION AND REPORTED ON AN EMPLOYEE'S FORM W-2
Schedule I, Part I, Line 2 Procedures for monitoring use of grant funds	Explanation Grants given to support of charitable community organizations Such grants are extended only for charitable purposes to organizations that are exempt under Code Section 501(c)(3) After qualifications for the grant are met and the grant is disbursed to the charitable organization there is no subsequent monitoring by the University Grants or other assistance are awarded to organizations or entities in the U S pursuant to the University policies and procedures for all grant subawards Such subawards are monitored through the University's office for Sponsored Research (OSR) and the University's Office of Accounting Services for Research and Sponsored Programs (ASRSP) All subaward documentation including purchase orders, related charges and invoices are reviewed and monitored by ASRSP and confirmed with the principal investigator The principal investigator must certify that the subaward costs are in accordance with the Office of Management and Budget's (OMB) Uniform Guidance (Uniform Administrative Requirements, Cost Principles, and Audit Requirements), also, ASRSP requests and collects audit reports from subaward recipients to monitor compliance, as required by the Uniform Guidance If the information is not furnished to ASRSP, payment may be withheld

Additional Data

Software ID: 17005876  
Software Version: 2017v2.2  
EIN: 36-2167817  
Name: Northwestern University

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Access Community Health Network 222 N Canal St Chicago, IL 60606	36-3317058	501(c)(3)	69,918				Support of research activities
Adler Planetarium & Astronomy Museum 1300 South Lake Shore Drive Chicago, IL 60605	36-6210902	501(c)(3)	69,064				Support of research activities

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Adventist Health SystemSunbelt Inc 601 E Rollins St Orlando, FL 32803	59-1479658	501(c)(3)	6,649				Support of research activities
Aging & In-Home Services of Northeast Indiana Inc 2927 Lake Avenue Fort Wayne, IN 46805	35-1341437	501(c)(3)	16,702				Support of research activities

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AHS Hospital Corp 475 South Street Morristown, NJ 07962	52-1958352		22,620				Support of research activities
AIDS Arms Inc 219 Sunset Ave Dallas, TX 75208	75-2306145	501(c)(3)	326,105				Support of research activities

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AIDS Foundation of Chicago 200 W Jackson Blvd Suite 2100 Chicago, IL 60606	36-3412054	501(c)(3)	6,259				Support of research activities
Albany Medical College 47 New Scotland Ave MC70 Albany, NY 12208	14-1338310	501(c)(3)	13,655				Support of research activities

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Albert Einstein College of Medicine Inc 1300 Morris Park Avenue Bronx, NY 10461	47-2209056	501(c)(3)	48,141				Support of research activities
Alliance of Chicago Community Health Services LLC 215 W Ohio St 4th Floor Chicago, IL 60654	36-4444309		1,291,684				Support of research activities

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American Institutes for Research 1000 Thomas Jefferson St NW Washington, DC 20007	25-0965219	501(c)(3)	86,759				Support of research activities
American Medical Association 515 N State Street Chicago, IL 60654	36-6080517	501(c)(3)	264,512				Support of research activities

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Ann & Robert H Lurie Children's Hospital of Chicago 225 E Chicago Avenue Chicago, IL 60611	36-2170833	501(c)(3)	4,632,908				Support of research activities
Arizona State University Office of Research and Spon Proj PO BOX 876011 Tempe, AZ 85287	86-0196696	501(c)(3)	14,764				Support of research activities

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Augusta University Research Institute Inc PO Box 945552 Atlanta, GA 303945552	58-1418202	501(c)(3)	8,752				Support of research activities
Banner Health 10515 W Santa Fe Drive Sun City, AZ 85351	45-0233470	501(c)(3)	12,390				Support of research activities

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Baptist Hospital of Miami 8900 N Kendall Dr Miami, FL 33176	59-0910342	501(c)(3)	5,020				Support of research activities
Baylor College of Medicine 1 Baylor Plaza Houston, TX 77030	74-1613878	501(c)(3)	93,447				Support of research activities

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Baylor Research Institute 3310 Live Oak Street Suite 501 Dallas, TX 75204	74-1613878	501(c)(3)	123,387				Support of research activities
Beckman Research Institute of the City of Hope 1500 East Duarte Road Duarte, CA 91010	95-3432210	501(c)(3)	22,298				Support of research activities

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Boston Medical Center One Boston Medical Center Pl Boston, MA 02118	04-3314093	501(c)(3)	924,908				Support of research activities
Boston University One Silber Way Boston, MA 02115	04-2103547	501(c)(3)	562,671				Support of research activities

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Boys & Girls Clubs of Chicago 550 W Van Buren Street Suite 350 Chicago, IL 60607	36-2166997	501(c)(3)	59,610				Support of research activities
Brigham and Women's Hospital 75 Francis St Boston, MA 02115	04-2312909	501(c)(3)	573,754				Support of research activities

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Brigham Young University A-285 ASB Provo, UT 846021231	87-0217280	501(c)(3)	5,610				Support of research activities
Brown University 45 Prospect Street Providence, RI 02912	05-0258809	501(c)(3)	117,847				Support of research activities

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California State University Fullerton 800 North State College Blvd Fullerton, CA 92831	95-2081258	115	20,374				Support of research activities
California State University Northridge 18111 Nordhoff Street Northridge, CA 91330	95-4358677	115	179,237				Support of research activities

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Campbell-Kibler Associates Inc 80 Lakeside Dr Groton, MA 01450	04-3297519		16,540				Support of research activities
Canfield Scientific Inc 253 Passaic Avenue Fairfield, NJ 070042524	22-2938062		7,078				Support of research activities

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Cardiac Surgery Clinical Research Center Inc 4400 West 95th St Suite 205 Oak Lawn, IL 60453	36-4437722	501(c)(3)	18,667				Support of research activities
CareIT Health LLC 5307 S Hyde Park Blvd Unit 2N Chicago, IL 60615	37-1760920		56,216				Support of research activities

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Carnegie Mellon University 5000 Forbes Ave Pittsburgh, PA 15213	25-0969449	501(c)(3)	48,093				Support of research activities
Case Western Reserve University 10900 Euclid Ave Cleveland, OH 44106	34-1018992	501(c)(3)	15,093				Support of research activities

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Cedars-Sinai Medical Center 8700 Beverly Blvd Hollywood, CA 90048	95-1644600	501(c)(3)	465,106				Support of research activities
Center on Halsted 3656 Halsted Street Chicago, IL 60613	51-0178807	501(c)(3)	9,057				Support of research activities

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Chicago Academy of Sciences 2430 North Cannon Drive Chicago, IL 60614	36-0895575	501(c)(3)	25,000				Support of research activities
Chicago Association for Research and Education in Science 5000 S 5th Avenue Building One Room C303 Hines, IL 60141	36-3334177	501(c)(3)	47,910				Support of research activities

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Chicago Botanic Garden 1000 Lake Cook Road Glencoe, IL 60022	36-2225482	501(c)(3)	415,000				Support of research activities
Children's Hospital Boston 300 Longwood Avenue Boston, MA 021155724	04-2774441	501(c)(3)	161,146				Support of research activities

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Children's Hospital Los Angeles 4650 Sunset Blvd Mail Stop 97 Los Angeles, CA 90027	95-6121916	501(c)(3)	9,278				Support of research activities
Children's Hospital of Philadelphia 34th Street and Civic Center Blvd Philadelphia, PA 19104	23-1352166	501(c)(3)	278,467				Support of research activities

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Children's Research Institute 111 Michigan Ave NW Washington, DC 20010	52-1654453	501(c)(3)	192,297				Support of research activities
Chinese American Service League 2141 S Tan Ct Chicago, IL 60616	36-2984043	501(c)(3)	78,327				Support of research activities

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Cincinnati Children's Hospital Medical Center 3333 Burnet Ave Cincinnati, OH 45229	31-0833936	501(c)(3)	261,893				Support of research activities
Citizens United for Research in Epilepsy 430 West Erie Street Chicago, IL 60654	36-4253176	501(c)(3)	6,000				Support of research activities

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City of Evanston 2100 Ridge Ave Evanston, IL 60201	36-6005870	115	1,000,000				Support of community organization
CJE SeniorLife Bernard Horwich Building 3003 W Touhy Ave Chicago, IL 60645	36-2727597	501(c)(3)	16,228				Support of research activities

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Clark University 950 Main Street Worcester, MA 01610	04-2111203	501(c)(3)	53,965				Support of research activities
Clemson University 300 Brackett Hall 321 Calhoun Drive Clemson, SC 29634	57-6000254	115	6,608				Support of research activities

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Cleveland Clinic 9500 Euclid Avenue Cleveland, OH 44195	34-0714585	501(c)(3)	166,554				Support of research activities
Clinical Directors Network Inc 5 W 37th Street 10th Floor New York, NY 10010	14-1717344		16,517				Support of research activities

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Colorado School of Mines 1500 Illinois Street Golden, CO 80401	84-6000551	115	224,289				Support of research activities
Columbia University 615 W 131st St New York, NY 10027	13-1624202	501(c)(3)	392,684				Support of research activities

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Community Action Project of Tulsa County Inc 4606 S Garnett Ste 100 Tulsa, OK 74146	73-1019247	501(c)(3)	89,047				Support of research activities
Construction Technology Laboratories Inc 5400 Old Orchard Road Skokie, IL 60077	36-3478051		23,586				Support of research activities

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Cornell University 222 Day Hall Ithaca, NY 14853	15-0532082	501(c)(3)	677,256				Support of research activities
Corporation for the Advancement of Policy Evaluation PO Box 2393 Princeton, NJ 08543	52-1645606		221,568				Support of research activities

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Cradles to Crayons 150 North Beacon Street Brighton, MA 02135	04-3584367	501(c)(3)	896,881				Charitable fundraising conducted by student organization
Dana-Farber Cancer Institute 44 Binney St Boston, MA 02115	04-2263040	501(c)(3)	34,346				Support of research activities

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Dartmouth College 420 Lexington Ave New York, NY 10170	02-0222111	501(c)(3)	7,110				Support of research activities
Denver Nephrology 130 Rampart Way Suite 300B Denver, CO 80230	84-0591433		32,563				Support of research activities

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DePaul University 1 E Jackson Chicago, IL 60604	36-2167048	501(c)(3)	212,086				Support of research activities
Dimension Inx LLC 303 E Superior St Chicago, IL 60611	81-3581892		32,376				Support of research activities

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Drexel University Office of Research 3201 Arch Street Suite 100 Philadelphia, PA 19104	23-1352630	501(c)(3)	14,790				Support of research activities
Duke University 2200 West Main St Erwin Square Suite 820 Durham, NC 27705	56-0532129	501(c)(3)	1,353,712				Support of research activities

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Eastern Virginia Medical School PO Box 1980 Norfolk, VA 23501	54-6055378	115	313,305				Support of research activities
Emory University 201 Dowman Dr Atlanta, GA 30322	58-0566256	501(c)(3)	292,776				Support of research activities

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Engineering and Software System Solutions Inc 550 West C Street Suite 1630 San Diego, CA 92101	33-0976413		44,325				Support of research activities
Enlace Chicago 2756 South Harding Ave Chicago, IL 60623	36-3727669	501(c)(3)	15,230				Support of research activities

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Erie Family Health Center 1701 W Superior St Chicago, IL 60622	36-3088628	501(c)(3)	1,341,346				Support of research activities
Evanston Community Foundation 1560 Sherman Avenue No 535 Evanston, IL 60201	36-3466802	501(c)(3)	104,875				Charitable fundraising conducted by student organization

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Evanston Township High School District 202 1600 Dodge Avenue Evanston, IL 60201	36-6004393	115	16,031				Support of research activities
EvanstonSkokie School District 65 1500 McDaniel Avenue Evanston, IL 60201	36-6007570	115	47,384				Support of research activities

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Executive Frameworks Ltd 2705 W Agatite Ave 1 Chicago, IL 60625	37-1450886		82,631				Support of research activities
Exploratorium Pier 17 Suite 100 San Francisco, CA 94111456	94-1696494	501(c)(3)	6,011				Support of research activities

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Fairview Health Services 2450 Riverside Avenue Minneapolis, MN 55454	41-0991680	501(c)(3)	26,862				Support of research activities
Fayetteville State University 1200 Murchison Rd Fayetteville, NC 28301	56-1238736	501(c)(3)	120,921				Support of research activities

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Feinstein Institute for Medical Research 350 Community Dr Manhasset, NY 11030	11-2673595	501(c)(3)	32,192				Support of research activities
FirstVitals Health and Wellness Inc PO Box 94526 Danville, CA 94526	27-3446639		13,325				Support of research activities

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(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Florida International University Modesto A Maidique Campus 11200 SW 8 Street MARC 430 Miami, FL 331990001	65-0177616	501(c)(3)	84,486				Support of research activities
Florida State University 600 W College Ave Tallahassee, FL 32306	59-1961248	115	62,617				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Fordham University 441 E Fordham Road Bronx, NY 10458	13-1740451	501(c)(3)	62,102				Support of research activities
Fred Hutchinson Cancer Research Center 1100 Fairview Ave N PO Box 19024 Seattle, WA 98109	12-3715607	501(c)(3)	273,799				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Friends of the Robert Crown Center PO Box 8064 Evanston, IL 60204	81-3741773	501(c)(3)	333,333				Support of community organization
Geisinger Clinic 100 North Academy Avenue Danville, PA 17822	23-1995911	501(c)(3)	379,844				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Geneva Foundation 917 Pacific Ave Suite 600 Tacoma, WA 98402	91-1593913	501(c)(3)	18,052				Support of research activities
George Mason University 4400 University Drive MSN 4C6 University Hall Suite 3100 Fairfax, VA 22030	54-0836354	501(c)(3)	26,832				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
George Washington University 2121 I St NW Washington, DC 20052	53-0196584	501(c)(3)	199,554				Support of research activities
Georgetown University 37th O Streets NW Box 571168 Washington, DC 200571168	53-0196603	501(c)(3)	17,598				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Georgia Institute of Technology 505 Tenth St Atlanta, GA 30332	58-0603146	501(c)(3)	97,394				Support of research activities
Georgia State University 30 Courtland St NE Ste 217 Atlanta, GA 30303	58-1845423	501(c)(3)	24,201				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Gilda's Club 537 N Wells Chicago, IL 60654	36-4115144	501(c)(3)	10,000				Support of research activities
Gingiber Labs 901 S Cedar St Palatine, IL 600677176	46-5472360		113,765				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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H Lee Moffitt Cancer Center & Research Institute 12902 Magnolia Ave Tampa, FL 33612	59-2451713	501(c)(3)	9,449				Support of research activities
Harvard University Massachusetts Hall Cambridge, MA 02138	04-2103580	501(c)(3)	634,272				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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HDT Expeditionary Systems Inc 30500 Aurora Road Solon, OH 44139	54-1251757		84,972				Support of research activities
Health Quest Medical Practice PC 45 Reade Pl Poughkeepsie, NY 12601	56-2669185	501(c)(3)	12,425				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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HealthPartners Institute 3311 E Old Shakopee Rd Bloomington, MN 554251361	41-1670163	501(c)(3)	161,630				Support of research activities
Hektoen Institute for Medical Research 2240 W Ogden Ave Chicago, IL 60612	36-2244897	501(c)(3)	520,119				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Help at Home LLC 1 N State St Suite 800 Chicago, IL 60602	36-2820808		6,000				Support of research activities
Henry M Jackson Foundation for the Advancement of Military Medicine 6720-A Rockledge Dr Bethesda, MD 20817	52-1317896	501(c)(3)	24,374				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Hoosier Cancer Research Network Inc 500 N Meridian Street Suite 100 Indianapolis, IN 46204	26-0303542	501(c)(3)	9,000				Support of research activities
Horizon Research Inc 326 Cloister Ct Chapel Hill, NC 27514	56-1550276		12,670				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Howard Brown Health Center 4025 N Sheridan Road Chicago, IL 60613	36-2894128	501(c)(3)	21,062				Support of research activities
Icahn School of Medicine at Mount Sinai One Gustave L Levy Place Box 1075 New York, NY 10029	13-6171197	501(c)(3)	598,021				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Illinois Department of Public Health 535 West Jefferson Street Springfield, IL 62761	01-0632628	115	73,155				Support of research activities
Illinois Institute of Technology 3300 South Federal Street Chicago, IL 60616	36-2170136	501(c)(3)	75,996				Support of research activities

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Illinois Public Health Association 223 S 3rd St Springfield, IL 62701	36-6108790	501(c)(3)	73,220				Support of research activities
Illinois Science and Technology Institute 222 W Merchandise Mart Plaza Chicago, IL 60654	45-4092094	501(c)(3)	23,917				Support of research activities

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Indiana Hemophilia & Thrombosis Center Inc 8402 Harcourt Road Indianapolis, IN 46260	35-2047838		20,841				Support of research activities
Indiana University 509 E 3rd Street Bloomington, IN 47401	35-6001673	115	424,140				Support of research activities

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Innovations for Poverty Action 101 Whitney Ave New Haven, CT 06510	06-1660068		8,304				Support of research activities
Institute for Cancer Research (aka Fox Chase Cancer Center) 333 Cottman Ave Philadelphia, PA 191112434	23-6296135	501(c)(3)	170,909				Support of research activities

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Institute for Clinical Research Inc PO Box 29545 Washington, DC 200170745	52-1336656	501(c)(3)	74,367				Support of research activities
Iowa State University 3810 Beardshear Hall Ames, IA 50011	42-6004224	115	11,155				Support of research activities

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J Craig Venter Institute 9704 Medical Center Dr Rockville, MD 20850	52-1842938	501(c)(3)	59,385				Support of research activities
Jackson Laboratory 600 Main Street Bar Harbor, ME 04609	01-0211513	501(c)(3)	234,160				Support of research activities

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Jewish Federation of Metropolitan Chicago 30 S Wells Chicago, IL 60606	36-2167034	501(c)(3)	619,613				Charitable fundraising conducted by student organization
Johns Hopkins University Charles St and University Baltimore, MD 21210	52-0595110	501(c)(3)	772,092				Support of research activities

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Joslin Diabetes Center Inc One Joslin Place Boston, MA 02215	04-2203836	501(c)(3)	129,693				Support of research activities
Juvenile Protective Association 1707 N Halsted Street Chicago, IL 60614	36-2167765	501(c)(3)	25,000				Support of research activities

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Kaiser Foundation Research Institute 3800 N Interstate Ave Portland, OR 97227	94-1105628	501(c)(3)	81,864				Support of research activities
Kentucky Refugee Ministries 969-B Cherokee Road Louisville, KY 40204	61-1229842	501(c)(3)	50,000				Support of community organization

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Les Turner ALS foundation 5550 Touhy Avenue Suite 302 Skokie, IL 60077	36-2916466	501(c)(3)	5,500				Support of research activities
Louis Stokes Cleveland VA Medical Center 10701 East Boulevard Cleveland, OH 44106	34-1710663	501(c)(3)	81,560				Support of research activities

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Loyola University Chicago 1032 W Sheridan Rd Chicago, IL 60660	36-1408475	501(c)(3)	34,361				Support of research activities
Lynn Sage Cancer Research Foundation 541 North Fairbanks Court Chicago, IL 60611	36-3727715	501(c)(3)	10,000				Support of research activities

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Lyric Opera of Chicago 20 N Wacker Drive Chicago, IL 60606	36-6008929	501(c)(3)	7,500				Support of research activities
MarketLab Research Inc 100 Penn Square East Suite 1200 Philadelphia, PA 19107	23-2502559		1,254,373				Support of research activities

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Massachusetts General Hospital 55 Fruit St Boston, MA 02114	04-1564655	501(c)(3)	481,911				Support of research activities
Massachusetts Institute of Technology 77 Massachusetts Ave Cambridge, MA 02142	04-2103594	501(c)(3)	91,563				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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Mayo Clinic Arizona 13400 East Shea Blvd Scottsdale, AZ 85259	86-0800150	501(c)(3)	388,573				Support of research activities
Mayo Clinic Jacksonville 4500 San Pablo Rd Jacksonville, FL 32224	59-3337028	501(c)(3)	215,685				Support of research activities

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Mayo Clinic Rochester 200 First St SW Rochester, MN 55905	41-6011702	501(c)(3)	222,365				Support of research activities
Medical College of Wisconsin 8701 Watertown Plank Rd Milwaukee, WI 53226	39-0806261	501(c)(3)	335,678				Support of research activities

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Medical Research Analytics and Informatics Alliance 20 North Wacker Drive c/o TechNexus Chicago, IL 60606	45-3007467		244,544				Support of research activities
Medical University of South Carolina 179 Ashley Ave Charleston, SC 29425	57-6000722	115	106,716				Support of research activities

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Memorial Hospital of Rhode Island 111 Brewster St Pawtucket, RI 02680	05-0259004	501(c)(3)	30,841				Support of research activities
Memorial Sloan-Kettering Cancer Center 1275 York Ave New York, NY 10065	13-1624182	501(c)(3)	183,888				Support of research activities

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Mercy Hospital & Medical Center 2525 S Michigan Ave Chicago, IL 60616	36-2170152	501(c)(3)	141,296				Support of research activities
MetaStar Inc 2909 Landmark Place Madison, WI 53713	39-1332612	501(c)(3)	234,534				Support of research activities

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Methodist Hospital 6670 Bertner Street Houston, TX 77030	87-0721923	501(c)(3)	34,688				Support of research activities
Metropolitan Asian Family Services 505 N Roselle Roselle, IL 601721013	36-3925432		20,165				Support of research activities

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Michigan State University 113 Angell Bldg East Lansing, MI 48824	38-6005984	115	98,095				Support of research activities
Midwestern University 555 31st St Downers Grove, IL 60515	36-3377698	501(c)(3)	6,508				Support of research activities

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Millennium Park Foundation 201 East Randolph Chicago, IL 60601	36-4244167	501(c)(3)	10,000				Support of research activities
Mind Research Network 1101 Yale Blvd NE Albuquerque, NM 87106	85-0457562	501(c)(3)	60,027				Support of research activities

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Missouri University of Science and Technology 300 W 12th St 202 Centennial Hall Rolla, MO 65401	43-6003859	115	26,872				Support of research activities
Myomo Inc One Broadway 14th Floor Cambridge, MA 02142	47-0944526		51,951				Support of research activities

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National Bureau of Economic Research Inc 1050 Massachusetts Ave Cambridge, MA 02138	13-1641075	501(c)(3)	22,395				Support of research activities
National Jewish Health 1400 Jackson St Denver, CO 80206	74-2044647	501(c)(3)	64,283				Support of research activities

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Neighborhood Health Group LLC 5860 W Higgins Ave Chicago, IL 60630	98-1107218		354,762				Support of research activities
New Jersey Institute of Technology 323 Dr Martin Luther King Jr Blvd Newark, NJ 07102	22-6000910	115	35,624				Support of research activities

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New York University (aka New York University School of Medicine) 665 Broadway New York, NY 100122331	13-5562308	501(c)(3)	222,204				Support of research activities
North Carolina State University 2711 Founders Dr Raleigh, NC 27695	56-6000756	115	32,299				Support of research activities

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Northern Illinois University 1425 W Lincoln Hwy DeKalb, IL 60115	36-6086819	501(c)(3)	557,539				Support of research activities
NorthShore University HealthSystem Research Institute 2650 Ridge Ave Evanston, IL 60201	36-4191793	501(c)(3)	1,127,357				Support of research activities

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Northwestern Medical Faculty Foundation Inc 680 N Lake Shore Dr Chicago, IL 60611	36-3097297	501(c)(3)	856,000				Support of research activities
Northwestern Memorial Hospital 240 E Ontario Street Chicago, IL 60611	37-0960170	501(c)(3)	13,827				Support of research activities

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Northwestern University Settlement House 1400 West Augusta Blvd Chicago, IL 60642	36-2167818	501(c)(3)	25,000				Support of research activities
Objective Arts Inc 20 N Wacker Drive Chicago, IL 60606	75-2975237		126,720				Support of research activities

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Ochsner Clinic Foundation 1514 Jefferson Hwy New Orleans, LA 701212429	72-0502505	501(c)(3)	61,480				Support of research activities
Ohio State University 154 W 12th Ave Columbus, OH 43210	31-6025986	115	111,241				Support of research activities

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Oklahoma State University 113 Student Union Stillwater, OK 74078	73-1383996	115	283,898				Support of research activities
OptoNet Inc 828 Davis Street Suite 206 Evanston, IL 60201	74-3092128		42,968				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Oregon Health & Science University 3181 Southwest Sam Jackson Park Rd Portland, OR 97239	93-1176109	115	197,330				Support of research activities
Oregon State University Office of Sponsored Programs 312 Kerr Administration Building Corvallis, OR 973312140	48-1278540	501(c)(3)	92,892				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
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OSF Saint Francis Medical Center 530 NE Glen Oak Avenue Peoria, IL 61637	37-0813229	501(c)(3)	48,924				Support of research activities
Pacific Health Research and Education Institute 3375 Koapaka St Ste I-540 Honolulu, HI 96819	99-0303308	501(c)(3)	7,560				Support of research activities

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Palo Alto University 1791 Arastradero Road Palo Alto, CA 94304	94-2340692	501(c)(3)	15,180				Support of research activities
Park Street Solutions Company One Energy Center 40 Shuman Blvd Suite 295 Naperville, IL 60563	20-1152430		46,675				Support of research activities

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Pennsylvania State University 308 Old Main University Park, PA 16802	24-6000376	115	279,826				Support of research activities
Portland VA Research Foundation Inc PO Box 69539 Portland, OR 97239	94-3090170	501(c)(3)	41,123				Support of research activities

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Presence Health Network 200 S Wacker Dr 11th Floor Chicago, IL 60606	36-1649520	501(c)(3)	52,401				Support of research activities
Primodal US Incorporated 305 Burrows Rd Kalamazoo, MI 49006	26-0701716		7,250				Support of research activities

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Princeton University PO BOX 36 ORPA 4 New South Building Princeton, NJ 08544	21-0634501	501(c)(3)	47,045				Support of research activities
Product Development & Analysis LLC 1776 Legacy Circle Suite 115 Naperville, IL 60563	36-4121041		20,600				Support of research activities

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Prosthetic Design Inc 700 Harco Drive Clayton, OH 45315	31-1341713		30,706				Support of research activities
Purdue University 610 Purdue Mall West Lafayette, IN 47906	35-6002041	115	593,277				Support of research activities

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QuesTek Innovations LLC 1820 Ridge Avenue Evanston, IL 60201	36-4116425		272,885				Support of research activities
Rancho Research Institute PO Box 3500 Downey, CA 90242	95-1911180	501(c)(3)	22,994				Support of research activities

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Ravinia Festival Association 418 Sheridan Road Highland Park, IL 60035	36-6002273	501(c)(3)	14,000				Support of research activities
Rehabilitation Institute of Chicago 345 E Superior St Chicago, IL 60611	36-2256036	501(c)(3)	699,518				Support of research activities

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Research Foundation for Mental Hygiene Inc 150 Broadway Suite 301 Menands, NY 12204	14-1410842	501(c)(3)	8,745				Support of research activities
Research Foundation of The City University of New York 65-30 Kissena Blvd Queens, NY 11367	13-1988190	501(c)(3)	380,157				Support of research activities

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Research Triangle Institute 12 Davis Dr RESEARCH TRIANGLE PARK, NC 27709	56-0686338	501(c)(3)	110,422				Support of research activities
Rho Federal Systems Division Inc 6330 Quadrangle Dr Chapel Hill, NC 27517	56-1927659		9,440				Support of research activities

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Rice University 6100 Main St Houston, TX 77005	74-1109620	501(c)(3)	58,858				Support of research activities
Rocky Mountain Movement Disorders Center PC 701 E Hampden Ave Suite 510 Englewood, CO 80113	26-0756771		16,570				Support of research activities

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Rosalind Franklin University of Medicine & Science 3333 Green Bay Road North Chicago, IL 600643037	36-2181973	501(c)(3)	7,877				Support of research activities
Rush University Medical Center 1653 W Congress Parkway Chicago, IL 60612	36-2174823	501(c)(3)	1,594,031				Support of research activities

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Rutgers University 57 US Highway 1 New Brunswick, NJ 08901	22-6001086	501(c)(3)	23,612				Support of research activities
Saint Luke's Hospital (Kansas City MO) 4401 Wornall Road Kansas City, MO 64111	44-0545297	501(c)(3)	34,832				Support of research activities

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Sanford Burnham Prebys Medical Discovery Institute 10901 N Torrey Pines Rd La Jolla, CA 92037	51-0197108	501(c)(3)	304,111				Support of research activities
Scheck & Siress Prosthetics Inc 15376 Summit Avenue Court E Oakbrook Terrace, IL 60181	36-3217435		63,872				Support of research activities

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Schneider Electric Engineering Services LLC 1415 S Roselle Rd Palatine, IL 600677337	36-2440683		5,575				Support of research activities
Scripps Research Institute 10550 N Torrey Pines Rd La Jolla, CA 92037	33-0435954	501(c)(3)	551,089				Support of research activities

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Seattle Children's Research Institute 1904 9th Ave Seattle, WA 98105	91-1156519	501(c)(3)	15,539				Support of research activities
Sentara Healthcare 6015 Poplar Hall Dr Norfolk, VA 23502	52-1271901	501(c)(3)	21,465				Support of research activities

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Siemens Corporation 300 New Jersey Avenue Suite 1000 Washington, DC 20001	13-2623358		224,892				Support of research activities
SocialWorks 12100 Wilshire Blvd Los Angeles, CA 90025	81-3662609	501(c)(3)	5,809				Charitable fundraising conducted by student organization

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SRI International 333 Ravenswood Ave Menlo Park, CA 94025	94-1160950		13,034				Support of research activities
St Vincent Medical Group Inc 8333 Naab Rd Indianapolis, IN 462601992	27-2039417		12,137				Support of research activities

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Stanford University 295 Galvez St Stanford, CA 94305	94-1156365	501(c)(3)	437,114				Support of research activities
Start Small Think Big 8 W 126th Street New York, NY 10027	27-1821066	501(c)(3)	53,151				Support of community organization

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Syracuse University 113 Bowne Hall Syracuse, NY 13244	15-0532081	501(c)(3)	89,160				Support of research activities
Telligen Inc 1776 West Lakes Pkwy West Des Moines, IA 50266	42-0992483		291,133				Support of research activities

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Temple University 1801 N Broad Street Philadelphia, PA 19122	23-1365971	501(c)(3)	332,666				Support of research activities
Texas Tech University 2500 Broadway Lubbock, TX 79409	75-6002622	501(c)(3)	133,458				Support of research activities

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The Art Institute of Chicago 111 S Michigan Ave Chicago, IL 60603	36-2167725	501(c)(3)	10,000				Support of research activities
Tidemark Institute 73 Bristol Road Damariscotta, ME 04543	45-5139751	501(c)(3)	42,560				Support of research activities

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Tufts Medical Center 800 Washington Street Boston, MA 02111	27-0440772	501(c)(3)	38,613				Support of research activities
Tufts University Office of Research Administration 136 Harrison Ave Boston, MA 02155	04-2103634	501(c)(3)	35,715				Support of research activities

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Tulane University 6823 St Charles Ave New Orleans, LA 70118	72-0423889	501(c)(3)	888,113				Support of research activities
UChicago Argonne LLC Argonne National Laboratory 9700 S Cass Ave Lemont, IL 60439	68-0628477	115	59,366				Support of research activities

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United States Drug Testing Laboratories Inc 1700 S Mount Prospect Rd Des Plaines, IL 60018	42-1612910		242,989				Support of research activities
United Way of Metropolitan Chicago 333 South Wabash Avenue Chicago, IL 60604	30-0200478	501(c)(3)	15,000				Support of research activities

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Universidad Popular 2801 S Hamlin Ave Chicago, IL 60623	36-3028729	501(c)(3)	13,277				Support of research activities
University of Alabama at Birmingham 1530 3rd Ave South Birmingham, AL 35294	63-6005396	115	550,318				Support of research activities

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University of Arizona 617 N Santa Rita Ave Tucson, AZ 85721	74-2652689	115	87,764				Support of research activities
University of California Berkeley 200 California Hall Berkeley, CA 94720	94-6002123	115	162,465				Support of research activities

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University of California Davis One Shields Ave Davis, CA 95616	94-6036494	115	182,076				Support of research activities
University of California Irvine Office of Administration 5171 California Ave Suite 150 Irvine, CA 92697	95-2226406	115	128,295				Support of research activities

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University of California Los Angeles 11000 Kinross Ave Suite 211 Los Angeles, CA 90095	95-6006143	115	143,309				Support of research activities
University of California San Diego 9500 Gilman Dr La Jolla, CA 92093	95-6006144	115	445,615				Support of research activities

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University of California San Francisco 505 Parnassus Ave San Francisco, CA 94143	56-6001393	115	841,936				Support of research activities
University of California Santa Cruz Office of Sponsored Projects Santa Cruz, CA 950641077	94-1539563	115	16,564				Support of research activities

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University of Central Florida 12201 Research Parkway Suite 501 Orlando, FL 328263246	59-2924021	501(c)(3)	92,936				Support of research activities
University of Chicago 5801 S Ellis Ave Chicago, IL 60637	36-2177139	501(c)(3)	8,111,344				Support of research activities

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University of Chicago National Opinion Research Center 1155 East 60th Street Chicago, IL 60637	36-2167808	501(c)(3)	314,127				Support of research activities
University of Cincinnati 2600 Clifton Ave Cincinnati, OH 45221	31-6000989	115	80,416				Support of research activities

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University of Colorado 13001 East 17th Place Bldg 500 Room W1126 Aurora, CO 80045	84-6000555	501(c)(3)	903,156				Support of research activities
University of Connecticut Health Center 263 Farmington Ave Farmington, CT 06030	36-6009515	115	103,889				Support of research activities

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University of Delaware Hullihen Hall 175 S College Av Newark, DE 19716	51-6000297	501(c)(3)	110,293				Support of research activities
University of Florida 201 Criser Hall Gainesville, FL 32611	59-6002052	115	425,265				Support of research activities

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University of Idaho 875 Permimeter Dr Moscow, ID 838443020	82-6000945	115	65,349				Support of research activities
University of Illinois at Chicago 809 S Marshfield Avenue MB 502 M/C 551 Chicago, IL 606124305	37-6000511	115	5,330,377				Support of research activities

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University of Illinois at Urbana-Champaign 601 E John St Champaign, IL 61820	37-6000511	115	955,425				Support of research activities
University of Iowa 100 Mossman Business Svcs Bldg Iowa City, IA 52245	42-6004813	115	256,708				Support of research activities

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University of Kansas Medical Center Research Institute 3901 Rainbow Boulevard MSN 1039 Kansas City, KS 66160	48-1108830	501(c)(3)	87,412				Support of research activities
University of Kentucky 100 Funkhouser Bldg Lexington, KY 40506	61-6001218	115	156,071				Support of research activities

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University of Louisiana at Lafayette 104 University Circle Lafayette, LA 70503	72-6000820	115	194,721				Support of research activities
University of Maryland 2108 Mitchell Bldg College Park, MD 20742	52-6002033	115	197,351				Support of research activities

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University of Massachusetts Amherst 70 Butterfield Terrace Amherst, MA 01003	04-3167352	115	93,021				Support of research activities
University of Miami 1252 Memorial Dr Coral Gables, FL 33146	59-0624458	501(c)(3)	401,404				Support of research activities

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University of Michigan 515 E Jefferson Ann Arbor, MI 48109	38-6000134	115	958,984				Support of research activities
University of Minnesota 101 Pleasant St Minneapolis, MN 55455	41-6007513	115	384,833				Support of research activities

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University of Missouri-Columbia 310 Jesse Hall Columbia, MO 65211230	43-6003859	115	33,246				Support of research activities
University of Nebraska Medical Center 987835 Nebraska Medical Center Omaha, NE 68198	47-0491233	115	14,187				Support of research activities

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University of Nebraska-Lincoln 3835 Holdrege St Lincoln, NE 68583	47-0049123	115	48,041				Support of research activities
University of Nevada Las Vegas Office of Sponsored Programs Las Vegas, NV 891541055	88-6000024	115	25,035				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of North Carolina at Chapel Hill 9201 University City Blvd Charlotte, NC 28223	56-6000642	115	862,623				Support of research activities
University of Notre Dame 317 Main Building Notre Dame, IN 46556	35-0868188	501(c)(3)	7,846				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Pennsylvania 3451 Walnut St Philadelphia, PA 19104	23-1352685	501(c)(3)	514,145				Support of research activities
University of Pittsburgh 4227 Fifth Ave Pittsburgh, PA 15260	25-0965591	501(c)(3)	627,411				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University Of Puerto Rico Medical Sciences Campus P O Box 365067 San Juan, PR 009365067	66-0433760		100,732				Support of research activities
University of Rochester 518 Hylan Building Rochester, NY 14627	16-0743209	501(c)(3)	982,340				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of South Carolina 1600 Hampton Street Room 612 Columbia, SC 29208	57-6001153	501(c)(3)	7,565				Support of research activities
University of South Florida - Tampa 4202 E Fowler Ave Tampa, FL 33620	59-3102112	115	32,403				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Southern California 1540 Alcazar St Los Angeles, CA 90089	95-1642394	501(c)(3)	634,241				Support of research activities
University of Texas at Austin 2100 San Jacinto Blvd Austin, TX 78712	74-6000203	115	501,491				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Texas at San Antonio One UTSA Circle San Antonio, TX 78249	74-1717115	115	40,228				Support of research activities
University of Texas Health Science Center at Houston 7000 Fannin UCT 1006 Houston, TX 77030	74-1761309	115	23,537				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Texas M D Anderson Cancer Center 1515 Holcombe Blvd Houston, TX 77030	76-0273984	115	12,077				Support of research activities
University of Texas Medical Branch at Galveston 301 University Boulevard Galveston, TX 775550657	74-6000949	501(c)(3)	14,645				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Texas Southwestern Med Ctr at Dallas 5323 Harry Hines Blvd Dallas, TX 75390	75-6002868	115	282,229				Support of research activities
University of Utah 201 S 1460 E Salt Lake City, UT 84112	87-6000121	115	634,205				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Virginia 1 College Park Wise, VA 24293	54-6001796	115	733,890				Support of research activities
University of Washington 1410 NE Campus Parkway Seattle, WA 98195	91-6001537	115	533,524				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Wisconsin-Madison 750 University Avenue 4th Floor AW Peterson Building Madison, WI 537061490	39-1805963	501(c)(3)	916,873				Support of research activities
Van Andel Research Institute 333 Bostwick Ave NE Grand Rapids, MI 49503	52-2000823	501(c)(3)	60,415				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Vanderbilt University 2201 West End Ave Nashville, TN 37235	62-0476822	501(c)(3)	852,407				Support of research activities
Vanderbilt University Medical Center CCC-3322 Medical Center North Nashville, TN 372322103	62-0476822	501(c)(3)	20,657				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Veterans Medical Research Foundation of San Diego 3350 La Jolla Village Dr San Diego, CA 92161	33-0189397	501(c)(3)	34,383				Support of research activities
Village of Skokie Health Department 5127 Oakton Street Skokie, IL 60077	36-6006103	115	88,594				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Virginia Commonwealth University PO Box 980568 Richmond, VA 232980568	54-6001758	501(c)(3)	14,401				Support of research activities
Virginia Polytechnic Institute and State University Office of Sponsored Programs 300 Turner Street NW Blacksburg, VA 24061	54-6001805	501(c)(3)	15,038				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Wake Forest University Health Sciences 1834 Wake Forest Rd WinstonSalem, NC 27106	90-0222618	501(c)(3)	19,637				Support of research activities
Walter Reed National Military Medical Center 8901 Rockville Pike Bethesda, MD 20889	77-0706389	115	42,965				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Washington University in St Louis One Brookings Dr St Louis, MO 63130	43-0653611	501(c)(3)	718,315				Support of research activities
Wayne State University PO Box 02759 Detroit, MI 48202	38-3555142	501(c)(3)	57,303				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Weill Cornell Medical College 445 E 69th Street New York, NY 10021	13-1623978	501(c)(3)	109,209				Support of research activities
WestEd 730 Harrison Street San Francisco, CA 94107	94-3233542	115	19,642				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Westside Institute for Science and Education 820 S Damen Avenue Chicago, IL 60612	36-3712391	501(c)(3)	68,568				Support of research activities
Wright State University 3640 Colonel Glenn Hwy Dayton, OH 45435	31-0732831	115	16,360				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.							
(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Yale University 140 Prospect St New Haven, CT 06511	06-0646973	501(c)(3)	199,476				Support of research activities
YMCA of the USA 101 North Wacker Drive Chicago, IL 60606	36-3258696	501(c)(3)	13,501				Support of research activities

**Schedule J**  
(Form 990)

**Compensation Information**

OMB No 1545-0047

**2017**

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

**For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**  
**▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**  
**▶ Attach to Form 990.**  
**▶ Information about Schedule J (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).**

Name of the organization  
Northwestern University

Employer identification number

36-2167817

**Part I Questions Regarding Compensation**

**1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> First-class or charter travel             | <input checked="" type="checkbox"/> Housing allowance or residence for personal use |
| <input checked="" type="checkbox"/> Travel for companions                     | <input type="checkbox"/> Payments for business use of personal residence            |
| <input checked="" type="checkbox"/> Tax indemnification and gross-up payments | <input checked="" type="checkbox"/> Health or social club dues or initiation fees   |
| <input type="checkbox"/> Discretionary spending account                       | <input checked="" type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

**b** If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain.

**1b** Yes

**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?

**2** Yes

**3** Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Compensation committee              | <input type="checkbox"/> Written employment contract                                |
| <input checked="" type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study                    |
| <input type="checkbox"/> Form 990 of other organizations                | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

**4** During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

**a** Receive a severance payment or change-of-control payment?

**4a** Yes

**b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?

**4b** Yes

**c** Participate in, or receive payment from, an equity-based compensation arrangement?

**4c** No

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

**Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.**

**5** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

**a** The organization?

**5a** Yes

**b** Any related organization?

**5b** No

If "Yes," on line 5a or 5b, describe in Part III.

**6** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

**a** The organization?

**6a** No

**b** Any related organization?

**6b** No

If "Yes," on line 6a or 6b, describe in Part III.

**7** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III.

**7** Yes

**8** Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III.

**8** No

**9** If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

**9**

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that are not listed on Form 990, Part VII.

**Note.** The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

See Additional Data Table

**Schedule J (Form 990) 2017**

**Part III Supplemental Information**

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

Return Reference	Explanation
Schedule J, Part I, Line 1a	SCHEDULE J SUPPLEMENTAL INFORMATION
Schedule J, Part I, Line 1a First-class or charter travel	Charter airplane travel to the University's annual Bowl game was provided to two listed persons and their family members and was not treated as taxable compensation under the excess seating capacity exception. Six interested persons were provided charter travel and was treated as a business expense for four of those individuals and for two of those individuals was treated as taxable compensation. Four listed persons traveled first class and was treated as a business expense and not treated as taxable compensation.
Schedule J, Part I, Line 1a Travel for companions	The President's spouse has accompanied the President at development events for business purposes and such expenses were not treated as taxable compensation. Three listed persons received companion travel. Companion travel for family members of two interested persons qualified under the excess seating capacity exception for charter travel, and companion travel for one interested person was treated as a business expense.
Schedule J, Part I, Line 1a Tax indemnification and gross-up payments	Two listed persons received gross up payments in connection with certain benefits and such amounts were treated as taxable compensation.
Schedule J, Part I, Line 1a Housing allowance or residence for personal use	The President is required to reside in University-owned housing which is provided for the convenience of the University and is not treated as a taxable compensation pursuant to Internal Revenue Code Section 119. The annual fair market rental value of the housing is included in nontaxable benefits listed on Schedule J, Part II, column (D). Six listed persons were provided with housing or a housing allowance and the amounts were treated as taxable compensation.
Schedule J, Part I, Line 1a Health or social club dues or initiation fees	The President was extended memberships in organizations that are held in the President's individual name but that reflect institutional business requirements and are not treated as taxable compensation. Five listed persons received reimbursement for social club dues, which were treated as taxable compensation.
Schedule J, Part I, Line 1a Personal services	In connection with the University-provided presidential housing, the University provides maid/cleaning services at the President's University residence. The value of the benefit for cleaning services associated with the personal living quarters is treated as taxable compensation. Nominal chauffeur services were provided to the President and the value of the benefit is treated as taxable compensation. Personal services related to housing was extended to one other interested person.
Schedule J, Part I, Line 4a Severance or change-of-control payment	In connection with his retirement from Northwestern University, Daniel Linzer received compensation in the amount of \$218,750, which is included in Part II, Column B(iii).
Schedule J, Part I, Line 4b Supplemental nonqualified retirement plan	The following participated in a 457(f) nonqualified retirement plan and the amounts are subject to substantial risk of forfeiture and vest after a number of years: Name and amount contributed: Morton O. Schapiro (\$211,012), Daniel I. Linzer (\$225,000), Craig A. Johnson (\$100,000), Nimalan Chinniah (\$90,000), Philip L. Harris (\$30,000), Robert E. McQuinn (\$165,000), James J. Phillips (\$120,000), William H. McLean (\$441,108), Peter A. Belytschko (\$251,071), Chris Collins (\$50,000). Name and amount paid: Morton O. Schapiro (\$164,948), William H. McLean (\$757,176), Peter A. Belytschko (\$330,166), Robert E. McQuinn (\$145,150), Sally E. Blount (\$330,663).
Schedule J, Part I, Line 5a Compensation contingent on revenues of the organization	The Chief Investment Officer and Managing Director of Investments received incentive compensation which was in part calculated contingent on the performance of the University's long term investments.

Additional Data

Software ID: 17005876  
Software Version: 2017v2.2  
EIN: 36-2167817  
Name: Northwestern University

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1Morton O Schapiro	(i)	1,096,539	250,000	243,542	238,012	198,740	2,026,833	89,253
President	(ii)	0	0	0	0	0	0	0
1Jonathan Holloway	(i)	317,950	20,000	149,537	24,333	13,088	524,908	0
Provost	(ii)	0	0	0	0	0	0	0
2Mary L Baglivo	(i)	338,432	0	15,220	27,000	21,830	402,482	0
VP Global Marketing	(ii)	0	0	0	0	0	0	0
3Pamela S Beemer	(i)	386,079	10,000	19,584	27,000	4,658	447,321	0
VP for Human Resources	(ii)	0	0	0	0	0	0	0
4Paul Castellucci	(i)	299,105	46,928	50,240	27,000	680	423,953	0
VP Budget and Planning	(ii)	0	0	0	0	0	0	0
5Nimalan Chinniah	(i)	840,410	100,000	76,434	117,000	18,296	1,152,140	0
Executive Vice President	(ii)	0	0	0	0	0	0	0
6Alan K Cubbage	(i)	305,200	0	27,015	27,000	15,834	375,049	0
VP University Relations	(ii)	0	0	0	0	0	0	0
7John L D'Angelo	(i)	416,842	50,000	99,625	27,000	23,696	617,163	0
VP for Facilities Management	(ii)	0	0	0	0	0	0	0
8Devora Grynspar	(i)	235,492	0	1,715	24,000	9,809	271,016	0
VP International Relations	(ii)	0	0	0	0	0	0	0
9Philip L Harris	(i)	711,513	100,000	1,379	57,000	23,966	893,858	0
VP General Counsel	(ii)	0	0	0	0	0	0	0
10Craig A Johnson	(i)	480,842	115,000	18,240	127,000	7,580	748,662	0
Interm Senior Vice President	(ii)	0	0	0	0	0	0	0
11Marilyn McCoy	(i)	437,290	0	18,215	27,000	23,640	506,145	0
VP Administration & Planning	(ii)	0	0	0	0	0	0	0
12William H McLean	(i)	863,176	998,626	19,584	468,108	21,188	2,370,682	0
VP and Chief Investment Officer	(ii)	0	0	0	0	0	0	0
13Robert E McQuinn	(i)	593,077	136,250	184,234	192,000	34,118	1,139,679	86,667
VP for Development	(ii)	0	0	0	0	0	0	0
14Eric G Neilson	(i)	576,294	0	8,141	19,167	3,156	606,758	0
VP Medical Affairs	(ii)	0	0	0	0	0	0	0
15James J Phillips	(i)	1,021,688	585,500	287,342	147,000	23,473	2,065,003	0
VP Athletics	(ii)	0	0	0	0	0	0	0
16Sean Reynolds	(i)	458,390	0	40,160	27,000	7,688	533,238	0
VP and Chief Information Officer	(ii)	0	0	0	0	0	0	0
17Ingrid S Stafford	(i)	336,909	0	20,584	27,000	7,760	392,253	0
VP for Financial Operations	(ii)	0	0	0	0	0	0	0
18Patricia Telles-Irvin	(i)	395,765	50,000	58,184	27,000	23,696	554,645	0
VP Student Affairs	(ii)	0	0	0	0	0	0	0
19Joseph T Walsh Jr	(i)	370,400	0	19,032	27,000	40,567	456,999	0
VP for Research	(ii)	0	0	0	0	0	0	0

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees								
(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
<b>21</b> Patrick W Fitzgerald II Head Coach	(i)	4,064,960	307,500	714,197	27,000	31,280	5,144,937	0
	(ii)	0	0	0	0	0	0	0
<b>1</b> Christopher R Collins Head Coach	(i)	2,356,097	50,000	51,075	77,000	31,057	2,565,229	0
	(ii)	0	0	0	0	0	0	0
<b>2</b> Maciej S Lesniak Professor Neurological Surgery	(i)	1,363,521	0	360	27,000	704	1,391,585	0
	(ii)	0	0	0	0	0	0	0
<b>3</b> Sally E Blount Dean, Kellogg	(i)	696,916	0	397,072	27,000	10,238	1,131,226	0
	(ii)	0	0	0	0	0	0	0
<b>4</b> Peter A Belytschko Managing Director, Investments	(i)	442,656	533,505	18,360	278,071	10,076	1,282,668	0
	(ii)	0	0	0	0	0	0	0
<b>5</b> Daniel I Linzer Former Provost	(i)	424,382	0	221,334	252,000	40,294	938,010	0
	(ii)	0	0	0	0	0	0	0

Schedule K  
(Form 990)

Supplemental Information on Tax-Exempt Bonds

OMB No 1545-0047

2017

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

► Complete if the organization answered "Yes" to Form 990, Part IV, line 24a. Provide descriptions, explanations, and any additional information in Part VI.  
► Attach to Form 990.  
► Information about Schedule K (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Part I

Bond Issues

(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Defeased		(h) On behalf of issuer		(i) Pool financing	
						Yes	No	Yes	No	Yes	No
A ILLINOIS FINANCE AUTHORITY	86-1091967	45200BFC7	09-09-2004	135,800,000	ACQUIRE, CONSTRUCT OR RENOVATE UNIVERSITY FACILITIES & Equipment		X		X		X
B ILLINOIS FINANCE AUTHORITY	86-1091967	45200FKZ1	06-25-2008	125,000,000	ACQUIRE, CONSTRUCT OR RENOVATE UNIVERSITY FACILITIES		X		X		X
C Illinois Finance Authority	86-1091967	45203H2A9	06-04-2015	146,017,057	ACQUIRE, CONSTRUCT OR RENOVATE UNIVERSITY FACILITIES		X		X		X

Part II

Proceeds

		A		B		C		D	
1	Amount of bonds retired . . . . .								
2	Amount of bonds legally defeased . . . . .								
3	Total proceeds of issue . . . . .	144,677,217		126,815,680		146,081,419			
4	Gross proceeds in reserve funds . . . . .								
5	Capitalized interest from proceeds . . . . .								
6	Proceeds in refunding escrows . . . . .								
7	Issuance costs from proceeds . . . . .	1,039,400		1,250,000		886,268			
8	Credit enhancement from proceeds . . . . .								
9	Working capital expenditures from proceeds . . . . .								
10	Capital expenditures from proceeds . . . . .	143,637,817		125,565,680		145,195,151			
11	Other spent proceeds . . . . .								
12	Other unspent proceeds . . . . .								
13	Year of substantial completion . . . . .	2008		2011		2017			
		Yes	No	Yes	No	Yes	No	Yes	No
14	Were the bonds issued as part of a current refunding issue? . . . . .		X		X		X		
15	Were the bonds issued as part of an advance refunding issue? . . . . .		X		X		X		
16	Has the final allocation of proceeds been made? . . . . .	X		X		X			
17	Does the organization maintain adequate books and records to support the final allocation of proceeds? . . . . .	X		X		X			

Part III

Private Business Use

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
1 Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds? . . . . .		X		X		X		
2 Are there any lease arrangements that may result in private business use of bond-financed property? . . . . .	X		X			X		

**Part III Private Business Use** (Continued)

	<b>A</b>		<b>B</b>		<b>C</b>		<b>D</b>	
	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>
<b>3a</b> Are there any management or service contracts that may result in private business use of bond-financed property? . . . . .	X		X		X			
<b>b</b> If "Yes" to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?		X		X		X		
<b>c</b> Are there any research agreements that may result in private business use of bond-financed property? . . . . .	X		X			X		
<b>d</b> If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?		X		X				
<b>4</b> Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government . . . . . ▶								
<b>5</b> Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government . . . . . ▶	0 65 %		0 39 %		1 58 %			
<b>6</b> Total of lines 4 and 5 . . . . .	0 65 %		0 39 %		1 58 %			
<b>7</b> Does the bond issue meet the private security or payment test? . . .		X		X		X		
<b>8a</b> Has there been a sale or disposition of any of the bond-financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued? . . . . .		X		X		X		
<b>b</b> If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of . .								
<b>c</b> If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1.141-12 and 1.145-2? . . . . .								
<b>9</b> Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1.141-12 and 1.145-2? . . . . .	X		X		X			

**Part IV Arbitrage**

	<b>A</b>		<b>B</b>		<b>C</b>		<b>D</b>	
	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>
<b>1</b> Has the issuer filed Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate? . . .		X		X		X		
<b>2</b> If "No" to line 1, did the following apply? . . . .								
<b>a</b> Rebate not due yet? . . . . .		X		X	X			
<b>b</b> Exception to rebate? . . . . .		X		X		X		
<b>c</b> No rebate due? . . . . .	X		X			X		
If "Yes" to line 2c, provide in Part VI the date the rebate computation was performed . . . . .								
<b>3</b> Is the bond issue a variable rate issue? . . . . .	X		X			X		
<b>4a</b> Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X	X			X		
<b>b</b> Name of provider . . . . .			See Part VI					
<b>c</b> Term of hedge . . . . .			500 %					
<b>d</b> Was the hedge superintegrated? . . . . .				X				
<b>e</b> Was the hedge terminated? . . . . .				X				

**Part IV Arbitrage** (Continued)

		<b>A</b>		<b>B</b>		<b>C</b>		<b>D</b>	
		<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>
<b>5a</b>	Were gross proceeds invested in a guaranteed investment contract (GIC)?		X		X		X		
<b>b</b>	Name of provider . . . . .								
<b>c</b>	Term of GIC . . . . .								
<b>d</b>	Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied? . . . . .								
<b>6</b>	Were any gross proceeds invested beyond an available temporary period?		X		X		X		
<b>7</b>	Has the organization established written procedures to monitor the requirements of section 148? . . . .	X		X		X			

**Part V Procedures To Undertake Corrective Action**

		<b>A</b>		<b>B</b>		<b>C</b>		<b>D</b>	
		<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>
Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations?		X		X		X			

**Part VI Supplemental Information.** Provide additional information for responses to questions on Schedule K (see instructions).

Return Reference	Explanation
Schedule K, Part I, Column (c) Bond Issue B IFA - Series 2008	Additional CUSIPs 45200F LA5, 45200F LB3

Return Reference	Explanation
Schedule K, Part IV, Line 4b Bond Issue B IFA - Series 2008	Morgan Stanley Capital Services LLC, Bank of America, NA, JP Morgan

Return Reference	Explanation
Schedule K, Part II, Line 3 Total proceeds of issue	The difference between issue prices and proceeds of bonds are a result of investment income earned

Return Reference	Explanation
Schedule K, Part III, Line 3b Reviews by Bond Counsel	The University engages bond counsel and performs a review of management or services contracts at the time of any new bond issuances, generally every two years. At that time all existing bond issuances and private use are re-examined and re-documented. The University monitors changes in private use on an ongoing basis internally.

Return Reference	Explanation
Schedule K, Part III, Line 4 Private Business Use	The University finances acquisition, construction and renovation of University facilities with multiple funding sources including tax exempt bond issues. There is a small amount of monitored private business use within the facilities partially funded by bonds, however, such usage was financed from other sources.

Return Reference	Explanation
Schedule K, Part I, Column (f) Purposes	In addition to the purposes listed in Part I, Column (f), bonds were also issued to pay costs of issuance

Return Reference	Explanation
Schedule K, Part I, Column (c) Bond Issue A IFA-Series 2004	Additional CUSIP 45200B FD5

Return Reference	Explanation
Schedule K, Part IV, Line 2c COLUMN A	Issuer name ILLINOIS FINANCE AUTHORITY The calculation for computing no rebate due was performed on 09/09/2009

Return Reference	Explanation
Schedule K, Part IV, Line 2c COLUMN B	Issuer name ILLINOIS FINANCE AUTHORITY The calculation for computing no rebate due was performed on 06/25/2018

Schedule L  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

Transactions with Interested Persons

► Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.  
► Attach to Form 990 or Form 990-EZ.  
► Information about Schedule L (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

Part I Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and 501(c)(29) organizations only)  
Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b

1	(a) Name of disqualified person	(b) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected?	
				Yes	No

2 Enter the amount of tax incurred by organization managers or disqualified persons during the year under section 4958 . . . . . \$

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . . . \$

Part II Loans to and/or From Interested Persons.  
Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26, or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization?		(e) Original principal amount	(f) Balance due	(g) In default?		(h) Approved by board or committee?		(i) Written agreement?	
			To	From			Yes	No	Yes	No	Yes	No
(1) James Phillips	EMPLOYEE	COMPENSATION		X	1,100,000	193,333		No	Yes		Yes	
(2) James Phillips	EMPLOYEE	COMPENSATION		X	300,000	300,000		No	Yes		Yes	
Total						\$ 493,333						

Part III Grants or Assistance Benefiting Interested Persons.  
Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of assistance	(d) Type of assistance	(e) Purpose of assistance
(1)		7,695	Scholarship	Educational Scholarship

**Part IV Business Transactions Involving Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
(1) Charlotte Cubbage	Family member of Alan K. Cubbage, Officer	40,902	Employment		No
(2) Jennifer Burke	Family member of Joseph T. Walsh, Officer	58,416	Employment		No
(3) Great Lakes Coca-Cola	M. Jude Reyes, Trustee, ownership interest over 35%	966,539	Soft drink purchases and vending commissions		No
(4) SQ Advisors LLC	Kimberly Querrey, Trustee, ownership interest over 35%	1,374,871	Investment manager fees		No
(5) Constadina Castellucci	Family member of Paul Castellucci, Officer	66,551	Employment		No
(6) Alissa Schapiro	Family member of Morton Schapiro, Officer	10,572	Graduate Assistant Employment		No

**Part V Supplemental Information**

Provide additional information for responses to questions on Schedule L (see instructions)

Return Reference	Explanation
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SCHEDULE M  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Noncash Contributions

►Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.  
► Attach to Form 990.  
►Information about Schedule M (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

Part I

Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art . . . . .	X	43	4,140,745	Market value
2 Art—Historical treasures . . . . .				
3 Art—Fractional interests . . . . .				
4 Books and publications . . . . .	X		12,266,308	Market value
5 Clothing and household goods . . . . .	X		1,824	Market value
6 Cars and other vehicles . . . . .				
7 Boats and planes . . . . .				
8 Intellectual property . . . . .				
9 Securities—Publicly traded . . . . .	X	776	35,376,131	Market value
10 Securities—Closely held stock . . . . .				
11 Securities—Partnership, LLC, or trust interests . . . . .	X	1	16,190,270	Market value
12 Securities—Miscellaneous . . . . .				
13 Qualified conservation contribution—Historic structures . . . . .				
14 Qualified conservation contribution—Other . . . . .				
15 Real estate—Residential . . . . .				
16 Real estate—Commercial . . . . .				
17 Real estate—Other . . . . .				
18 Collectibles . . . . .				
19 Food inventory . . . . .	X	16	22,640	Market value
20 Drugs and medical supplies . . . . .				
21 Taxidermy . . . . .				
22 Historical artifacts . . . . .				
23 Scientific specimens . . . . .				
24 Archeological artifacts . . . . .				
25 Other ► ( equipment, software )	X	15	1,359,419	Market value
26 Other ► ( Events, tickets )	X	218	1,123,386	Market value
27 Other ► ( )				
28 Other ► ( )				

29

Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement

29

5

30a

During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period?

30a

No

b

If "Yes," describe the arrangement in Part II

31

Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?

31

Yes

32a

Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?

32a

No

b

If "Yes," describe in Part II

33

If the organization did not report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II

**Part II****Supplemental Information.**

Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Return Reference	Explanation
Schedule M, Part I Column (b)	The University is reporting the number of contributions received

**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
~~Internal Revenue Service~~

Name of the organization  
Northwestern University

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at  
[www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

**Employer identification number**

36-2167817

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VI, Line 10a LOCAL CHAPTERS, BRANCHES	THE UNIVERSITY DOES NOT HAVE LOCAL CHAPTERS, BRANCHES, LODGES, UNITS OR SIMILAR AFFILIATES AS DESCRIBED IN SCHEDULE F, THE UNIVERSITY HAS ONE INTERNATIONAL CAMPUS, LOCATED IN DOHA , QATAR THE UNIVERSITY HAS A NUMBER OF AFFILIATION AGREEMENTS AND ARRANGEMENTS WITH OTHER RESEARCH AND EDUCATIONAL INSTITUTIONS BUT THE UNIVERSITY DOES NOT HAVE AUTHORITY TO EXERCISE SUPERVISION AND CONTROL OF SUCH INSTITUTIONS

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 16b JOINT VENTURES	THE UNIVERSITY DOES NOT HAVE A WRITTEN POLICY REGARDING JOINT VENTURES IN GENERAL. HOWEVER, JOINT VENTURE AGREEMENTS ARE REVIEWED BY THE UNIVERSITY'S OFFICE OF GENERAL COUNSEL TO EVALUATE WHETHER THE AGREEMENT FURTHERS THE MISSION OF THE UNIVERSITY AND TO ENSURE THE SAFEGUARDING OF UNIVERSITY'S ASSETS. THE UNIVERSITY ALSO HAS GUIDELINES CONCERNING JOINT VENTURES IN ITS TECHNOLOGY TRANSFER AND INVESTMENT POLICIES.

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VI, Line 1a Delegate broad authority to a committee	Executive Committee of the Board of Trustees is comprised of 20 members of the governing body The Executive Committee may exercise the power of the Board of Trustees between meetings with respect to ordinary business transactions

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VI, Line 2 Family/business relationships amongst interested persons	Jay C Hoag and Patrick G Ryan Jr - Business relationship, M Jude Reyes and A Steven C rown - Business relationship, M Jude Reyes and Patrick Ryan Jr - Business relationship, M Jude Reyes and Frederick H Waddell - Business relationship, David B Weinberg and M J ude Reyes - Business relationship, Miles D White and William A Osborn - Business relatio nship, Muneer A Satter and William A Osborn - Business relationship, Muneer A Satter an d Patrick Ryan Jr - Business relationship, Muneer A Satter and Christopher B Galvin - B usiness relationship, Frederick H Waddell and William A Osborn - Business relationship, Jay C Hoag and William McLean - Business relationship

## 990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 11b Review of form 990 by governing body	An electronic copy of the University's final Form 990 (including all required schedules), was provided to each voting member of the University's governing body prior to filing. That version of the Form 990 is identical to the one ultimately filed with the IRS. Prior to providing a copy to the governing body, a draft of the Form 990 was provided for review to the Audit, Risk, and Compliance Committee of the Board of Trustees, which is comprised of a subset of members from the governing body who review the accounting procedures and controls of the University.

**990 Schedule O, Supplemental Information**

<b>Return Reference</b>	<b>Explanation</b>
Form 990, Part VI, Line 12c Conflict of interest policy	<p>University Bylaws and Statutes require that any conflict of interest of any Trustee, Officer or their immediate families be disclosed to the Board of Trustees in writing. An Officer shall call any conflict of interest to the attention of the President. If the matter is being considered by the Board of Trustees or one of its committees, such Officer is not permitted to participate in or make recommendations about the conflict of interest under discussion, except to the extent the Officer is required by the Trustees of other officers to answer pertinent questions related to the conflict. A Trustee having a conflict of interest shall call it to the attention of the Board or committee and shall abstain on voting on the subject. The Trustee is encouraged to answer pertinent questions when his/her knowledge of the subject will assist the Board or any of its committees. In addition, Trustees are subject to a Conflict of Interest Policy, which has been adopted by the Board of Trustees. Potential conflicts of interest are further scrutinized under a University investment policy governing Trustee Relationship Investments whereby, among other things, affected trustees must recuse themselves from any discussion and vote related to the investment. Pursuant to the University's staff and faculty Conflict of Interest Policies, employees are required to disclose potential conflicts of interest to the University on an annual basis. Employees receive annual reminders to complete a conflict of interest questionnaire and responses are submitted electronically and reviewed by each employee's supervisor. Potential conflicts are further reviewed by the University's Department of Human Resources and action taken by senior management as needed.</p>

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VI, Line 15a Process to establish compensation of top management official	<p>The Compensation Committee of the Board includes members of the University's governing body who are not related or controlled by the employees whose compensation they are reviewing</p> <p>To assess the reasonableness of employee compensation, the compensation committee of the Board relies on (i) formal survey and comparability data prepared and compiled by an outside consultant who has expertise in the field of executive compensation assessment and benchmarking and (ii) compensation recommendations from the President and Provost for their direct reports</p> <p>The Compensation Committee of the Board meets every June for the purpose of reviewing and approving executive compensation recommendations for the next fiscal year</p> <p>After review and the approval, the Committee's decisions are documented with internal communications to executive leadership except that the President's compensation is communicated solely to the Vice President &amp; General Counsel</p> <p>The offices of the President, Provost and Executive Vice President separately then send the final compensation decisions to the payroll department and the Vice President of Human Resources for implementation and processing other than the compensation information of the President, which is provided by the Vice President &amp; General Counsel to the Vice President of Human Resources</p>

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VI, Line 15b Process to establish compensation of other employees	Compensation Committee of the Board reviewed and approved compensation of all current officers listed in Part VII, Section who received compensation in calendar year 2017

# 990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 19 Required documents available to the public	Governing documents The University maintains an Office for Global Marketing and Communication where information requests from the public are processed The organizing document by which the University was created, its charter, is available upon request The University's employee conflict of interest policy and financial statements are available on the University website

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VIII, Line 2f Other Program Service Revenue	Plant - Total Revenue 7999936, Related or Exempt Function Revenue 7999936, Unrelated Business Revenue , Revenue Excluded from Tax Under Sections 512, 513, or 514 ,

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part VIII, Line 11d Other Miscellaneous Revenue	all other - Total Revenue 247141, Related or Exempt Function Revenue , Unrelated Business Revenue 247141, Revenue Excluded from Tax Under Sections 512, 513, or 514 ,

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Form 990, Part XI, Line 9 Other changes in net assets or fund balances	Change in value of derivative instruments - 7419000, Change in value of nonoperating items - -1386000,

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Schedule F, Part I, Line 3 Program- related Investments	Program-related investments represent student loans disbursed during student's enrollment in international program

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Schedule F, Part I, Line 2 PROCEDURES FOR MONITORING USE OF GRANT FUNDS	<p>Grants or other assistance are awarded to foreign organizations or entities pursuant to the University policies and procedures for all grant subawards. Such subawards are monitored through the University's office for Sponsored Research (OSR) and the University's office of Accounting Services for Research and Sponsored Programs (ASRSP). All subaward documentation including purchase orders, related charges and invoices are reviewed and monitored by ASRSP and confirmed with the principal investigator. The principal investigator must certify that the subaward costs are in accordance with the Office of Management and Budget's (OMB) Uniform Guidance (Uniform Administrative Requirements, Cost Principles, and Audit Requirements), also, ASRSP requests and collects audit reports from subaward recipients to monitor compliance, as required by the Uniform Guidance. If the information is not furnished to ASRSP, payment may be withheld.</p>

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Schedule J, Part I, Line 7 Non-fixed payments	The President and eight interested persons received a non-fixed payment related to a recog nition bonus One officer was offered non-fixed payment related to apparel and tickets

**990 Schedule O, Supplemental Information**

Return Reference	Explanation
Part I, Line 7a Qualified transportation fringe and qualified parking	The University's unrelated business taxable income for fiscal year ended August 31, 2018 i ncluded income created under IRC 512(a)(7) related to qualified transportation fringe bene fits. The unrelated business revenue reported on Form 990, Part VIII, Statement of Revenue does not include the expenses that create unrelated business taxable income under 512(a)( 7).

SCHEDULE R  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Related Organizations and Unrelated Partnerships

► Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.  
► Attach to Form 990.  
► Information about Schedule R (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization  
Northwestern University

Employer identification number  
36-2167817

Part I Identification of Disregarded Entities

Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity
(1) Triad WIS NWU LLC 550 N Green Bay Rd Lake Forest, IL 60045 47-3504918	Investment	IL	0	5,044,803	Northwestern University
(2) Northwestern University USA Foundation Limited 21 Holborn Viaduct London, England EC1A2DY UK 98-1458225	Fundraising	UK	0	0	Northwestern University

Part II Identification of Related Tax-Exempt Organizations

Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512 (b)(13) controlled entity?	
						Yes	No
(1) RUBICON INSURANCE COMPANY 2020 RIDGE AVENUE  EVANSTON, IL 60208 36-3694409	PROVIDING MEDICAL MALPRACTICE COVERAGE	IL	501(c)(3)	Type II	NORTHWESTERN UNIVERSITY	Yes	
(2) STUDENTS PUBLISHING COMPANY 1999 SHERIDAN RD  EVANSTON, IL 60208 36-6002654	PUBLISHES STUDENT PERIODICALS	IL	501(c)(3)	Type II	N/A		No
(3) MCGAW MEDICAL CENTER OF NORTHWESTERN UNIVERSITY 420 E SUPERIOR ST  CHICAGO, IL 60611 36-2656113	COORDINATION OF MEDICAL RESIDENTS	IL	501(c)(3)	Type I	N/A		No
(4) THE BIG TEN CONFERENCE INC 1500 W HIGGINS RD  PARK RIDGE, IL 60068 36-3640583	FACILITATE QUALITY INTERCOLLEGIATE ATHLETIC COMPETITION	IL	501(c)(3)	Type II	N/A		No
(5) COMMITTEE ON INSTITUTIONAL COOPERATION 1819 S NEIL ST  CHAMPAIGN, IL 61820 46-3254996	ACADEMIC CONSORTIUM TO ADVANCE MISSION OF MEMBER INSTITUTIONS	IL	501(c)(3)	Type III-FI	N/A		No
(6) WOMANS EDUCATIONAL AID ASSOC 804 OAKTON ST 1E  EVANSTON, IL 60202 36-3049387	PROVIDING FINANCIAL AID TO STUDENTS	IL	501(c)(3)	Type III-O	N/A		No

**Part III Identification of Related Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512- 514)	(f) Share of total income	(g) Share of end- of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	
<b>(1)</b> Kuramo Africa Opportunity Fund II LP 500 5th Ave 44th Fl New York, NY 10110 47-3117325	Investment	NY	Northwestern University	Excluded	177,548	6,912,317		No	0		No	99 %
<b>(2)</b> KCG 64 CI-1 LP 7121 Fairway Dr Ste 410 Palm Beach Gardens, FL 33418 82-3391115	Investment	FL	Northwestern University	Excluded	-41,553	11,548,410		No	0		No	100 %

**Part IV Identification of Related Organizations Taxable as a Corporation or Trust** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of- year assets	(h) Percentage ownership	(i) Section 512 (b)(13) controlled entity?	
								Yes	No
<b>(1)</b> CHARITABLE REMAINDER UNITRUSTS (#103)		IL	N/A	Trust				Yes	
<b>(2)</b> Charitable Remainder Annuity Trusts (#12)		IL	N/A	Trust				Yes	
<b>(3)</b> Bensell US Feeder LP 98-0492320	Investments	UK	Northwestern University	C Corporation	713,285	2,955,989	56 6 %	Yes	
<b>(4)</b> Conquest Managed Futures Select Fund III Ltd 45 Market Street Suite 3205 Camana Bay, Grand Cayman KYI9003 CJ	Investments	CJ	Northwestern University	C Corporation		63,937,632	100 %	Yes	
<b>(5)</b> Gotham Neutral Strategies Ltd Corporate Services Cayman Limited 190 Elgin Ave George Town, Grand Cayman KT19005 CJ	Investment	CJ	Northwestern University	C Corporation	3,604,778	120,531,106	70 1 %	Yes	

**Part V Transactions With Related Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.**Note.** Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule**1** During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

	Yes	No
<b>a</b> Receipt of <b>(i)</b> interest, <b>(ii)</b> annuities, <b>(iii)</b> royalties, or <b>(iv)</b> rent from a controlled entity . . . . .		No
<b>b</b> Gift, grant, or capital contribution to related organization(s) . . . . .		No
<b>c</b> Gift, grant, or capital contribution from related organization(s) . . . . .	Yes	
<b>d</b> Loans or loan guarantees to or for related organization(s) . . . . .		No
<b>e</b> Loans or loan guarantees by related organization(s) . . . . .		No
<b>f</b> Dividends from related organization(s) . . . . .		No
<b>g</b> Sale of assets to related organization(s) . . . . .		No
<b>h</b> Purchase of assets from related organization(s) . . . . .		No
<b>i</b> Exchange of assets with related organization(s) . . . . .		No
<b>j</b> Lease of facilities, equipment, or other assets to related organization(s) . . . . .	Yes	
<b>k</b> Lease of facilities, equipment, or other assets from related organization(s) . . . . .		No
<b>l</b> Performance of services or membership or fundraising solicitations for related organization(s) . . . . .		No
<b>m</b> Performance of services or membership or fundraising solicitations by related organization(s) . . . . .		No
<b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) . . . . .	Yes	
<b>o</b> Sharing of paid employees with related organization(s) . . . . .	Yes	
<b>p</b> Reimbursement paid to related organization(s) for expenses . . . . .	Yes	
<b>q</b> Reimbursement paid by related organization(s) for expenses . . . . .	Yes	
<b>r</b> Other transfer of cash or property to related organization(s) . . . . .	Yes	
<b>s</b> Other transfer of cash or property from related organization(s) . . . . .	Yes	

**2** If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1)Rubicon Insurance Company	Q	2,397,145	cash
(2)Rubicon Insurance Company	R	7,040,851	cash
(3)Kuramo Africa Opportunity Fund II LP	R	3,386,627	Cash
(4)KCG 64 CI-1 LP	R	10,158,663	Cash
(5)Gotham Neutral Strategies Ltd	R	20,000,000	Cash

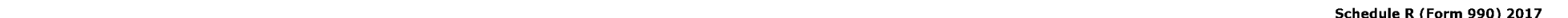
Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

**Part VII**      **Supplemental Information**

Provide additional information for responses to questions on Schedule R (see instructions)

Return Reference	Explanation
Schedule R, Part IV, Column (c)	The Charitable Remainder Unitrusts and Charitable Remainder Annuity Trusts are predominantly domiciled in Illinois



Additional Data

Software ID: 17005876  
Software Version: 2017v2.2  
EIN: 36-2167817  
Name: Northwestern University

Form 990, Schedule R, Part II - Identification of Related Tax-Exempt Organizations

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c) (3))	(f) Direct controlling entity	(g) Section 512 (b)(13) controlled entity?	
						Yes	No
2020 RIDGE AVENUE EVANSTON, IL 60208 36-3694409	PROVIDING MEDICAL MALPRACTICE COVERAGE	IL	501(c)(3)	Type II	NORTHWESTERN UNIVERSITY	Yes	
1999 SHERIDAN RD EVANSTON, IL 60208 36-6002654	PUBLISHES STUDENT PERIODICALS	IL	501(c)(3)	Type II	N/A		No
420 E SUPERIOR ST CHICAGO, IL 60611 36-2656113	COORDINATION OF MEDICAL RESIDENTS	IL	501(c)(3)	Type I	N/A		No
1500 W HIGGINS RD PARK RIDGE, IL 60068 36-3640583	FACILITATE QUALITY INTERCOLLEGIATE ATHLETIC COMPETITION	IL	501(c)(3)	Type II	N/A		No
1819 S NEIL ST CHAMPAIGN, IL 61820 46-3254996	ACADEMIC CONSORTIUM TO ADVANCE MISSION OF MEMBER INSTITUTIONS	IL	501(c)(3)	Type III-FI	N/A		No
804 OAKTON ST 1E EVANSTON, IL 60202 36-3049387	PROVIDING FINANCIAL AID TO STUDENTS	IL	501(c)(3)	Type III-O	N/A		No